

NEW YORK STATE EDUCATION DEPARTMENT
89 WASHINGTON AVE
ALBANY, NY 12234
MINI-BID # PBITS 23-003

OP MODERNIZATION IMPLEMENTATION PHASE II IV&V

CONTRACT CATEGORY: PROJECT BASED INFORMATION TECHNOLOGY CONSULTING SERVICES	
GROUP: 73600 AWARD NUMBER: 22772	
FIXED-PRICE BASIS ONLY	
Lot # 2	
DESIGNATED CONTACTS	
Primary Contact: Jessica Hartjen	Secondary Contact: Heather Klusendorf
E-mail address: PBITS@nysed.gov	E-mail address: PBITS@nysed.gov
Authorized User shall indicate if Procurement Lobbying Law/Restricted Period is in effect: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
By signing, Contractor affirms that it understands and agrees to comply with the Authorized User's policies and procedures relative to permissible contacts. Information may be accessed at: NYSED's Procurement Lobbying Law Policy Guidelines	

Questions Submission

Questions about this Mini Bid MUST be sent electronically to PBITS@NYSED.GOV no later than 9/14/2023. A Questions and Answers Summary will be posted to <http://www.op.nysed.gov/ifb-rfp.html> on or about 9/21/2023.

Proposal Submission

Please complete, attach and deliver the documentation referenced in Section 4.0 Contractor Response to cau@nysed.gov. **Bids must be received by: (10/6/2023, 5:00 PM).**

Please DO NOT send questions to CAU@NYSED.GOV.

Bidders are requested to submit their bids electronically to cau@nysed.gov. Please see the information below for instructions on submitting an electronic bid. Again, to remind bidders, **bids must be received by 5:00 pm Eastern Time on October 6, 2023.**

1. The Administrative Proposal, Technical Proposal, and MWBE Documents should be submitted in PDF format. The Financial Proposal should be submitted in Excel format. PDF files for the Technical Proposal should be editable and Optical Character Recognition (OCR) searchable. Please do not submit as a scanned PDF.
2. Submission documents requiring a signature must be signed using one of the methods listed below, and may be submitted in as a scanned PDF.
3. The following forms of e-signatures are acceptable:
 - a. handwritten signatures on faxed or scanned documents
 - b. e-signatures that have been authenticated by a third-party digital software, such as DocuSign and Adobe Sign
 - c. stored copies of the images of signatures that are placed on a document by copying and pasting or otherwise inserting them into the documents
4. Unacceptable forms of e-signatures include:
 - a. a typed name, including a signature created by selecting a script or calligraphy font for the typed name of the person "signing"
5. To identify the signer and indicate that the signer understood and intended to agree to the terms of the signed document, the signer will sign beside or provide by email the following attestation: "I agree, and it is my intent, to sign this document by [describe the signature solution used] and by electronically submitting this document to [name of recipient individual or entity]. I understand that my signing and submitting this document is the legal equivalent of having placed my handwritten signature on the submitted document and this attestation. I understand and agree that by electronically signing and submitting this document I am affirming to the truth of the information contained therein."

6. In order to ensure the timely receipt of your bid, please use the subject line "BID SUBMISSION PBITS 23-003" - failure to appropriately label your bid or submitting a bid to any email address other than the one identified above may result in the bid not being received by the deadline and considered for award.

CONTRACT TERM, EXTENSIONS AND NO COST CHANGE REQUESTS/ENHANCEMENTS

Tentative Start Date *December 1, 2023, through January 31, 2026*

Change Requests to fixed-price Deliverables that do not include a price increase or materially change the scope of the Deliverable may be authorized using the No Cost Change Request Template. Written approval is required from both the Contractor and the Authorized User regarding the no cost change order.

Enhancements that include additional functionality and additional Deliverables unknown at the time of Mini-Bid release may be authorized using the Enhancement Request Template. The total project value including the Enhancement budget cannot exceed the Lot maximum value. Written approval is required from both the Contractor and the Authorized User for the Enhancement request.

Maximum Enhancement Budget Allowable Percentage 10%

This figure is applied after the negotiations with Tentative Awardee and should not be included with the Contractor's submission in response to this document.

MWBE GOALS, UTILIZATION AND STAFFING PLANS

Minority and Women-Owned Business Enterprise (M/WBE) Participation Goals Pursuant to Article 15-A of the New York State Executive Law

For purposes of this procurement, NYS Education Department hereby establishes an overall goal of 30% of the total contract amount for M/WBE participation, in any percentage combination for Minority-Owned Business Enterprises ("MBE") participation and for Women-Owned Business Enterprises ("WBE") participation based on the current availability of qualified MBEs and WBEs. All bidders must document good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of this Contract. Minority and Women-Owned Business Enterprise (M/WBE) participation includes any and all services, materials or supplies purchased from New York State certified minority and women-owned firms. Utilization of certified Minority and Women-Owned firms will be applied toward the goals. Bidders can achieve compliance with NYSED's Minority and Women-Owned Business Enterprise goals as described below.

ACHIEVE FULL COMPLIANCE WITH PARTICIPATION GOALS (PREFERRED)

Bidders should submit subcontracting/supplier forms that meet or exceed NYSED's participation goals for this procurement. All subcontracting/supplier forms must be submitted with the bid proposal. In addition, bidders must complete and submit M/WBE 100: Utilization Plan, M/WBE 102: Notice of Intent to Participate and EEO 100: Staffing Plan. Instructions and copies of these forms are located in the Submission Documents. All firms utilized must be certified with the NYS Division of Minority and Women Business Development before beginning any work on this contract. For additional information and a listing of currently certified M/WBEs, see the [NYS Directory of Certified Minority and Women-Owned Business Enterprises](#).

The contact person on M/WBE matters is available throughout the application and procurement process to assist bidders in meeting the M/WBE goals. NYSED reserves the right to approve the addition or deletion of subcontractors or suppliers to enable bidders to comply with the M/WBE goals, provided such addition or deletion does not impact the technical proposal and/or increase the total cost of the bid proposal.

DOCUMENTATION OF GOOD FAITH EFFORTS

Bidders must undertake a good faith effort to solicit NYS Certified M/WBE firms as subcontractors and/or suppliers in fulfillment of this procurement. Means of solicitation may include but are not limited to: advertisements in minority centered publications; solicitation of vendors found in the [NYS Directory of Certified Minority and Women-Owned Business Enterprises](#); and the solicitation of minority and women-oriented trade and labor organizations. Bidders will be required to certify and attest to their good faith efforts by completing NYSED's Certification of Good Faith Efforts (Form M/WBE 105). See the M/WBE Submission Documents for detailed examples of and required forms to document good faith efforts.

NYSED reserves the right to reject any bid for failure to document “good faith efforts” to comply with the stated M/WBE goals.

IN THE EVENT BIDDERS CANNOT COMPLY WITH NYSED DESIGNATED PARTICIPATION GOALS, SAID BIDDERS MUST DOCUMENT THEIR “GOOD FAITH EFFORTS” TO COMPLY AND SUBMIT ONE OF THE FOLLOWING REQUESTS:

REQUEST A PARTIAL WAIVER OF PARTICIPATION GOALS

In order to request a partial waiver of the participation goals for this procurement, Bidders must provide documentation of their good faith efforts to obtain the use of certified M/WBE enterprises along with their bid proposal forms. The subcontracting forms must include the participation percentage(s) for which they seek approval. Bidders will be required to certify and attest to their good faith efforts. Bidders should submit a request for a partial waiver (Form M/WBE 101) and document their Good Faith Efforts (Form M/WBE 105) at the same time as the bid is submitted. Bidders must also complete and submit M/WBE 100: Utilization Plan, M/WBE 102: Notice of Intent to Participate and EEO 100: Staffing Plan. The M/WBE Coordinator is available throughout the procurement process to assist in all areas of M/WBE compliance.

REQUEST A COMPLETE WAIVER OF PARTICIPATION GOALS

In order to request a complete waiver of the participation goals for this procurement, Bidders must provide documentation of their Good Faith Efforts to obtain the use of certified M/WBE enterprises along with their bid proposal forms. Bidders will be required to certify and attest to their good faith efforts. Bidders should submit a request for a complete waiver on Form M/WBE 101 and document their Good Faith Efforts (Form M/WBE 105) at the same time as they submit their bid. The M/WBE Coordinator is available throughout the procurement process to assist in all areas of M/WBE compliance.

All payments to Minority and Women-Owned Business Enterprise subcontractor(s) must be reported to NYSED M/WBE Program Unit using M/WBE 103 Quarterly M/WBE Compliance Report. This report must be submitted on a quarterly basis and can be found at NYSED’s [M/WBE Forms and Compliance Forms webpage](#).

Service-Disabled Veteran-Owned Business (SDVOB) Participation Goals Pursuant to Article 3 of the Veterans’ Services Law

Article 3 of the Veterans’ Services Law allows eligible Veteran business owners to get certified as a New York State Service-Disabled Veteran-Owned Business (SDVOB). The goal of Article 3 was to encourage and support eligible SDVOBs to play a greater role in the State’s economy by increasing their participation in New York State’s contracting opportunities. To this end, NYSED strongly encourages bidders to make maximum possible use of SDVOBs as subcontractors and/or suppliers under this contract, consistent with the requirements of State Finance Law and State procurement guidelines, as well as NYSED policies and procedures. Bidders should consider fulfilling the requirements of this contract through the participation of SDVOBs at a rate of 6%. For additional information about this program, including a list of SDVOBs, please visit the [Office of General Services, Division of Service-Disabled Veterans’ Business Development website](#).

M/WBE AND EQUAL EMPLOYMENT OPPORTUNITIES REQUIREMENTS CONTRACTOR REQUIREMENT AND OBLIGATION UNDER NEW YORK STATE EXECUTIVE LAW, ARTICLE 15-A (PARTICIPATION BY MINORITY GROUP MEMBERS AND WOMEN WITH RESPECT TO STATE CONTRACTS)

In an effort to eradicate barriers that have historically impeded access by minority group members and women in State contracting activities, Article 15-A, of the New York State Executive Law §310-318, (Participation By Minority Group Members and Women With Respect To State Contracts) was enacted to promote equality of economic opportunities for minority group members and women.

The New York State Education Department (“NYSED”) has enacted its policies Equal Opportunity, Non-Discrimination and Affirmative Action and on Minority and Women-Owned Business Enterprise Procurements, consistent with the requirements as set forth under the provisions of Article 15-A (the “Article”) incorporated by reference, requiring Contracting Agencies to implement procedures to ensure that the “Contractor” (as defined under Article 15-A, §310.3 shall mean an individual, a business enterprise, including a sole proprietorship, a partnership, a corporation, a not-for-profit corporation, or any other party to a state contract, or a bidder in conjunction with the award of a state contract or a proposed party to a state contract, complies with requirements to ensure Equal Employment Opportunities for Minority Group Members and Women, in addition to providing Opportunities for Minority and Women-Owned Business Enterprises on all covered state contracts.

In keeping with the intent of the Law, it is the expectation of the Commissioner and the responsibility of all contractors participating in and/or selected for procurement opportunities with NYSED, to fulfill their obligations to comply with the requirements of the Article and its implementing regulations.

In accordance with these requirements, the contractor hereby agrees to make every good faith effort to promote and assist the participation of certified Minority and Women-Owned Business Enterprises (“M/WBE”) as subcontractors and suppliers on this project for the provision of services and materials in an amount at least equal to the M/WBE goal (Included in the procurement document) as a percentage of the total dollar value of this project. In addition, the contractor shall ensure the following:

1. All state contracts and all documents soliciting bids or proposals for state contracts contain or make reference to the following provisions:

a. The contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability, marital status, gender, religion, veteran status, sexual orientation, genetic disposition or carrier status and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination.

For purposes of the Article, affirmative action shall mean recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff or termination and rate of pay or other forms of compensation.

b. The contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability, marital status, gender, religion, veteran status, sexual orientation, genetic disposition or carrier status and that such union or representative will affirmatively cooperate in the implementation of the contractor’s obligation herein.

c. The contractor shall state in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability, marital status, gender, religion, veteran status, sexual orientation, genetic disposition or carrier status.

2. The contractor will include the provisions of subdivision one of this section in every subcontract as defined under §310.14, except as provided under §312.6 of the Article, in such a manner that the provisions will be binding upon each subcontractor as to work in connection with the State contract.

3. Contractors or subcontractors shall comply with the requirements of any federal law concerning equal employment opportunity, which effectuates the purpose of this section.

4. Contractors and subcontractors shall undertake programs of affirmative action and equal employment opportunity as required by this section¹. In accordance with the provision of the Article, the bidder will submit, with their proposal, Staffing Plan (EEO 100).

5. Certified businesses (as defined under Article 15-A, §310.1 means a business verified as a minority or women-owned business enterprise pursuant to §314 of the Article) shall be given the opportunity for meaningful participation in the performance of this contract, to actively and affirmatively promote and assist their participation in the performance of this contract, so as to facilitate the award of a fair share of this contract to such businesses.

6. Contractor shall make a good faith effort to solicit active participation by enterprises identified in the [Empire State Development \(“ESD”\) directory of certified businesses](#). The contractor must document its good faith efforts as set forth in 5 NYCRR 142.8. This document, Contractors Good Faith Efforts, can be found in the M/WBE Submission Documents.

7. Contractor shall agree, as a condition of entering into said contract, to be bound by the provisions of Article 15-A, §316.

8. Contractor shall include the provisions set forth in paragraphs (6) and (7) above, in every subcontract in a manner that the provisions will be binding upon each subcontractor as to work in connection with this contract.

¹ Notice – Contractors are provided with notice herein, NYSED may require a contractor to submit proof of an equal opportunity program after the proposal opening and prior to the award of any contract. In accordance with regulations set forth under Article 15-A §312.5, contractors and/or subcontractors will be required to submit compliance reports relating to the contractor’s and/or subcontractor’s program in effect as of the date the contract is executed.

9. Contractor shall comply with the requirements of any federal law concerning opportunities for M/WBEs that effectuates the purpose of this section.

10. Contractor shall submit all necessary M/WBE documents and/or forms as described above as part of their proposal in response to NYSED procurement.

11. The percentage goals established for this RFP are based on the overall availability of M/WBEs certified in the particular areas of expertise identified under this RFP. These goals should not be construed as rigid and inflexible quotas which must be met, but as targets reasonably attainable by means of applying every good faith effort to make all aspects of the entire Minority and Women-Owned Business Program work.

12. Contractor shall ensure that enterprises have been identified (M/WBE 102) within the Utilization Plan, and the contractor shall attempt, in good faith, to utilize such enterprise(s) at least to the extent indicated in the plan, as to what measures and procedures contractor intends to take to comply with the provisions of the Article.

13. Upon written notification from NYSED M/WBE Program Unit as to any deficiencies and required remedies thereof, the contractor shall, within the period of time specified, submit compliance reports documenting remedial actions taken and other information relating to the operation and implementation of the Utilization Plan.

14. Where it appears that a contractor cannot, after a good faith effort, comply with the M/WBE participation requirements, contractor may file a written application with NYSED M/WBE Program Unit requesting a partial or total waiver (M/WBE 101) of such requirements setting forth the reasons for such contractor's inability to meet any or all of the participation requirements, together with an explanation of the efforts undertaken by the contractor to obtain the required M/WBE participation.

MINI-BID PROPOSAL VALIDITY

All Contractor responses to Authorized User Mini-Bids must remain open and valid for at least 90 days from the Mini-Bid opening date, unless the time for awarding the Authorized User Agreement is extended by mutual consent of the Authorized User and the Contractor. A Contractor's Mini-Bid response shall continue to remain an effective offer, firm and irrevocable, subsequent to such 90 day period until either tentative award of the Authorized User Agreement by the Authorized User is made or withdrawal of the Contractor Submission in writing by the Contractor. Tentative award of the Authorized User Agreement shall consist of written notice to that effect by an Authorized User to a successful Contractor, who shall thereupon be obligated to execute a formal Authorized User Agreement.

AUTHORIZED USER PROCUREMENT RIGHTS

New York State reserves the following rights. These reserved rights are applicable to an Authorized User's Mini-Bid. The Authorized User may reserve additional rights in the Mini-Bid.

1. Reject any or all Contractor Submissions received in response to the Mini-Bid.
2. Withdraw the Mini-Bid at any time, in Authorized User's sole discretion.
3. Make an award under the Mini-Bid in whole or in part.
4. Disqualify any Contractor whose conduct and/or Contractor Submission fails to conform to the requirements of the Mini-Bid.
5. Seek clarifications and revisions of Contractor Submission(s).
6. Prior to the Submission opening, amend the Mini-Bid specifications to correct errors or oversights, or to supply additional information, as it becomes available.
7. Prior to the Submission opening, direct Contractor to submit Contractor Submission modifications addressing subsequent Mini-Bid amendments.
8. Eliminate any mandatory, non-material specifications that cannot be complied by all the prospective Contractors.
9. Waive any requirements that are not material.
10. The Authorized User may utilize any and all ideas submitted in the Mini-Bids received.
11. Adopt all or any part of a Contractor's Submission in selecting the optimum solution.
12. Negotiate with the Contractor(s) responding to this Mini-Bid within the Mini-Bid requirements to serve the best interests of the State. This includes requesting clarifications of any or all Contractors' Submissions.

13. All Contractor Submissions and accompanying documentation shall become the property of the Authorized User and shall not be returned.
14. Require clarification at any time during the Mini-Bid process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a Contractor's Submission and/or to determine a Contractor's compliance with the requirements of the Mini-Bid.
15. The Authorized User reserves the right to exclude any price lists that do not fall within the scope of the Mini-Bid.
16. Upon discovery of non-material completeness or conformance issues with a Contractor's Submission, contact the Contractor to attempt to cure the issue prior to completion of the evaluation of the Contractor's Submission.
17. OGS reserves the right to post information about Authorized User Contract usage of Centralized Contracts.

INTRODUCTION

The Office of the Professions (OP) provides one of the core business functions of the New York State Education Department (NYSED). The program is responsible for all licensing and renewal activities of more than 50 professional titles as well as licensing and renewal for professional corporations and pharmacy establishments. The services provided include the full range of accepting, reviewing, and approving license applications, post-licensure services, professional guidance and oversight, and the investigation of incidents of professional misconduct.

The OP Modernization Program has migrated more than 55 million licensing and renewal records from the nearly 40-year-old Unisys DMS-II mainframe system. The work expected to continue in 2023-25 will continue the development of a new, modern data model along with the set of accompanying applications.

The implementation of a new online licensing system, the New Professions System (NPS), is being managed through a contract with NYSTEC. The NPS system is a custom-coded solution with various applications developed in Java and backed by an Oracle database. The primary development is expected to be completed in 2024-25 with multiple development teams being managed by NYSED with development assistance from contractors.

NYSED seeks a contractor to provide independent verification and validation (IV&V) for the OP Modernization Implementation Continuation. The contractor selected for IV&V will be responsible for working with multiple other contractors currently working on this project. There is one contract for implementation of NPS that involves subcontracted development services managed through NYSTEC. There is one contract for implementation of a Disciplinary Case Management System through Thompson Reuters where all implementation is handled by the vendor. There are multiple consultants from OGS HBITS that provide project management and Quality Assurance (QA) support.

This Mini-Bid is being distributed to the Contractors awarded under Lot # 2 to acquire Project Based Information Technology (IT) Consulting Services for NYSED, an Authorized User of OGS Centralized Contract Award 22772 on a fixed-price basis.

The purpose of this Mini-Bid is to obtain Proposals for Services as detailed in this document and any attachments(s) that may be included.

- Responses will only be accepted from Contractors listed under Award #22772, Lot # 2.
- Responses which include pricing in excess of the "maximum Not-To-Exceed price" must be rejected by the Authorized User.

KEY EVENTS AND DATES

Event	Date	Time
Mini-Bid Release	August 31, 2023	N/A
Contractor Question Period End	September 14, 2023	5:00 PM
Authorized User Answer Issuance Deadline	September 21, 2023	N/A
Mini-Bid Response Due Date	October 6, 2023	5:00 PM

Tentative Project Start Date (contingent upon all approvals and final signed contract)	December 1, 2023	N/A
--	-----------------------------	------------

Please note: NYSED will not accept any Mini-Bid responses received after the Response Due Date.

PRE-BID CONFERENCE

Not Applicable

INTENT TO BID

Not Applicable

QUESTION AND ANSWER PERIOD

<p>Questions regarding the mini-bid must be submitted by E-mail to PBITS@nysed.gov no later than September 14, 2023. Questions regarding this request should be identified as Program, Fiscal or M/WBE. A Questions and Answers Summary will be posted to http://www.op.nysed.gov/ifb-rfp.html on or about September 21, 2023.</p>
--

DOWNSTREAM PROHIBITION

<p>The New Professions System (NPS) implementation contractor, NYSTEC, and/or any of its subsidiaries or subcontractors are prohibited from submitting a bid to this proposal.</p>
--

TABLE OF CONTENTS

1. PROJECT OVERVIEW	10
1.1. Project Background, OP Modernization Program	10
1.2. Project Purpose / Objectives	11
1.3. Business Processes Impacted	14
1.4. Customers / End Users Impacted	15
1.5. Existing System Description.....	15
2. DETAILED PROJECT SCOPE	15
2.1. Project Requirements	16
2.1.1. <i>Minimum Bidder Qualifications</i>	16
2.1.2. <i>Preferred Qualifications</i>	16
2.1.3. <i>Project Timeline</i>	16
2.1.4. <i>Contractor Requirements</i>	17
2.2. Project Consulting Key Personnel Requirements	18
2.3. Project Deliverables Narrative.....	19
2.4. Project Deliverables.....	20
2.4.1. <i>On-going Project Reporting</i>	20
2.4.2. <i>Document-Based Deliverables</i>	21
2.4.3. <i>Acceptance Process and Criteria</i>	29
2.5. Project Risk Assessment	29
2.6. Authorized User Security Requirements	30
2.7. Authorized User Insurance Requirements	30
3. GENERAL TERMS AND CONDITIONS	30
3.1. Definitions.....	30
3.2. Mini-Bid With Statement of Work Document And Attachments.....	32
3.3. Additional Terms and Conditions	32
3.4. Authorized User Responsibilities	32
3.5. Authorized User Dispute Resolution Procedure.....	32
3.6. Enhancement Budget Provision	32
3.7. Travel	33
3.8. Retainage	33
3.9. Additional Incentives	33
3.10. Debriefing and Protest Procedure.....	33
4. CONTRACTOR RESPONSE	34
4.1. Administrative Response	34
4.2. Technical Response	34
4.3. Financial Response	36
5. MINI-BID EVALUATION PROCESS	36
5.1. Submission Review	37
5.2. Technical Evaluation	37
5.3. Cost Evaluation	37
5.4. Preliminary Composite Score	37
5.5. Presentation	37
5.6. Final Composite Score	38
5.7. Reference Checks	38
5.8. Best And Final Offers	38
5.9. Award Recommendation.....	38

6. ATTACHMENTS (SEPARATE DOCUMENTS)

Attachment 01- Financial Proposal

Attachment 02- Submission Checklist and Forms

Attachment 03- Information Protection Agreement

Attachment 04- Non-Disclosure Agreement

Attachment 05- NYSED Information Security Policy

Attachment 06- NYSED User Account Password Policy

1. PROJECT OVERVIEW

1.1. PROJECT BACKGROUND, OP MODERNIZATION PROGRAM

The NYSED Office of the Professions is currently involved in a multi-year, multi-project comprehensive redesign of the Office of the Professions (OP) Professional Licensing and Renewal system. The new system, currently in development, is the New Professions System (NPS), and will be released iteratively beginning in winter 2024 with the goal that all 54 professions' licensing and renewal activities are fully managed through NPS, and the nearly forty-year-old mainframe COBOL system is sunset. The multi-project approach has already delivered on some promises made to improve processes related to professional licensing and renewal, including the ability for applicants to access an online application and pay via credit card for initial licensure and all subsequent registration renewals. Based on the success of the multiple projects and the NPS in development, the OP Modernization Program is revisiting its timeline to adjust for the reality of developing a custom-coded in-house solution for the Office of the Professions. Based on the reality of the custom-coded solution, it is essential that another round of Independent Verification & Validation (IV&V) be contracted not only to protect the budget assets of the state but also for an IV&V vendor to work collaboratively to assist with ensuring the success of the overall program.

The larger modernization program project will improve the internal business processes and customer experience so that all OP staff, including State Board Office staff, can better communicate with the public and improve licensure application processing times for hundreds of thousands of applicants annually. The project will develop and update all existing processes, many of which are paper processes today, and greatly improve the ability for all licensing and renewal activities to be managed electronically through individual user accounts both by external users, those applying for licensure and maintaining registration through periodic renewal, and internal users, those managing review and approval activities for licensure and renewal of Professionals.

The project combines OP staff, NYSED Information Technology Services (ITS) staff, temporary staff in project titles, temporary staff through OGS HBITS contracts, and three separate groups of consultants as part of one project encompassing 1) analysis and design phase, 2) implementation phase, and 3) independent verification and validation (IV&V) phase. The analysis and design phase completed in 2020. The first phase of the implementation will complete in winter 2024 with a second phase running through winter 2025. The first phase of implementation included a 30-month IV&V vendor engagement. The second phase of implementation will also require IV&V oversight to ensure complete delivery of the New Professions System (NPS).

We are planning for another IV&V engagement for 25 months to begin in December 2023.

Current OP program office and NYSED ITS staff who support the work of this program and will be assisting in the design and development of each project will provide subject matter expertise, requirements and analysis support, and development support to the implementation vendor(s). The collaboration among these groups is essential to the long-term maintenance and support of the New Professions System (NPS).

NYSED feels that this structure creates a realistic and achievable path to success for implementation and longevity. We look forward to IV&V services not only to protect our investment but also to assist with ensuring the overall success of the OP Modernization Program and NPS endeavors. The IV&V element as part of the OP Modernization Program initiative will also work collaboratively with these groups, identified in the Implementation Groups table, to help with problem solving, technical solution advisement, as well as reviewing deliverables and providing a third-party independent view of the program to the Director and NYSED Leadership.

From the inception of this program, in November 2018, the focus was on updating outdated systems to address the looming obsolescence of the mainframe system, improve OP's ability to respond to the

professional needs of the public, reduce the effort involved with the current reliance on myriad paper processes, as well as realizing a cost savings.

The implementation phase of the project began in December of 2020 through a contract with NYSTEC to provide implementation subcontractors for the program. The development planning and initial coding focused on the mainframe data migration to a relational database, which was completed in August 2021 with the population of a Read Only Strangle Off Approach (ROSA) Oracle database through use of the Microfocus Databridge software, which delivers real-time data from the Mainframe system in order for the data implementation team to work with Mainframe data in a relational format. The first phase of the program, years 2020-2023, has established the origins of the New Professions System (NPS) data model, which is populated from the ROSA database to the NPS database through Talend ETL software to establish the new NPS data model. A series of Java applications are then developed by the subcontractor developers led by NYSED technical engineers to provide back-end and front-end architecture for the NPS.

The first phase of the implementation engaged an IV&V vendor beginning in May 2021, to assist with third party independent oversight of development of the NPS. The organization of the program among NYSED ITS leadership, subcontractor development, business analyst, and Quality Assurance Tester resources, along with the IV&V vendor has been a successful endeavor. The first phase of the program has established not only the relational database and the build-out of the NPS data model for pre-licensing activities for OP, but it has also established the technical foundation of the NPS. The program has working software, but there is much more work to do to meet the needs of OP to replace the Mainframe system.

The Department expects the work to develop the NPS to continue through 2025-26 when the NPS will completely replace all licensing and renewal activities conducted in the Mainframe system and successfully sunset the Unisys Mainframe system and reliance on the nearly 40-year-old outdated system.

It is important to note that the implementation is not simply “rebuilding” the mainframe processing, but we are focusing on significant business process improvements and reengineering to reduce reliance on human processing. The New Professions System (NPS) will provide a universal system and a central location for all professional licensing needs including the Division of Professional Licensing Services (DPLS) and the State Board Office work. Additionally, the NPS must integrate with a COTS solution for discipline case management for the OP Office of Professional Responsibility (often referred to as the Office of Professional Discipline). The COTS solution has been selected, and implementation is underway for Thompson Reuters CaseTracker system and integration of the CLEAR database with access to national professional misconduct for professionals. The IV&V vendor will be instrumental in ensuring that integration between NPS and other OP systems is successfully achieved.

The IV&V Contractor must be able to manage myriad tasks for this large program and to work alongside the implementation teams in a collaborative effort to reach a successful deployment of the full NPS product in winter 2025, with a potential enhancement phase to follow.

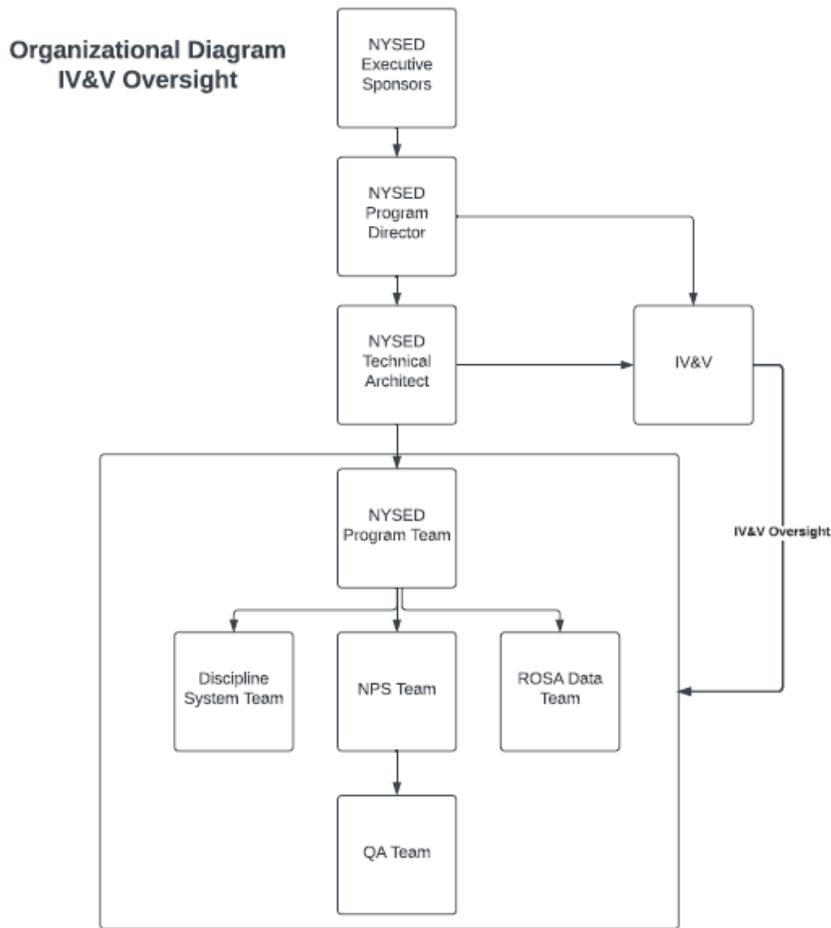
1.2. PROJECT PURPOSE / OBJECTIVES

The successful bidder will provide objective oversight and assessment of specific key deliverables from the OP Modernization Implementation Contractor to verify and validate that they are providing the required systems and services for the OP Modernization implementation project, including objective oversight and assessment of the planned integration of the COTS solution from Thompson Reuters. Additionally, as part of this objective oversight, the successful bidder will provide two quality assurance (QA) engineers to be embedded into and work as part of each of the development teams.

The IV&V oversight will be targeted at specific milestones and deliverables associated with the OP Modernization implementation project. The QA/IV&V resources will have first-hand knowledge and experience with the implementation and will be able to advise the full IV&V team regarding compliance and provide early-warning detection of milestones and deliverables that may not be met on each team. The assessment provided by the successful bidder is expected to ensure compliance with the requirements, standards, and levels of service established through contractual agreement and minimize the overall risk associated with the implementation project within the timetables provided.

This next “round” or “continuation” of IV&V services for the OP Modernization Implementation is expected to span 25 months from December 2023 to January 2026.

This is a large and complex project that will be accomplished through a collaborative effort involving multiple groups at NYSED as well as among the development teams and COTS solution vendor for implementation of a Disciplinary Case Management system, as indicated in the Figure below.



For this IV&V Implementation, there should be three colleagues: two of which will be embedded with the development teams and one project manager, also embedded and full-time on the project, to oversee organization, structure, and liaising with program leadership on a higher level for reporting and issue escalation. To be successful, the IV&V vendor must work in a collaborative fashion to assist the implementation teams rather than simply review work after completion. We are seeking a progressive working collaboration that identifies risks and issues ahead of implementation or development work.

The IV&V embedded staff shall function alongside the developers on the team to provide quality assurance of individual development items, which are determined as part of team grooming collaboration for each development iteration. The IV&V staff will attend and monitor meetings and presentations regarding project status, planning, risk and issue management, system design, and deliverables, including sprint team planning and grooming sessions.

Although the IV&V Contractor is independent, it is vital that the IV&V staff promote a team-oriented approach with the OP Modernization Implementation Contractor and NYSED Project Team. The common driving principle must be to achieve the highest quality deliverables for the overall project and all the Contractors must be committed to and share in the responsibility to achieve this outcome.

Below is a table with a description of the different groups involved in the OP Modernization Program.

Implementation Group	Description
Executive Leadership Group	<p>The Deputy Commissioner of the Office of the Professions is the ultimate “decider” on program decisions brought to her by the project director.</p> <p>The NYSED Chief Technology Officer (CIO) is the ultimate “decider” on technical decisions for the Program. The Director of ITS is also directly involved in providing technical leadership to the Program.</p> <p>The implementation team can expect, once significant development on milestones begins, to present to leadership as part of the Stakeholder Demonstrations. Together, this group will provide executive leadership on both business solution implementation and technology aspects of the program.</p> <p>Additionally, the Project Director presents progress reports to additional Senior Leadership within NYSED on a quarterly basis.</p>
Project Director	<p>The Project Director is involved in all areas of the project and will provide direction and vision to align with Executive Leadership, and additionally:</p> <ul style="list-style-type: none"> • Oversees funding, invoices, and payments • Reviews and provides direction on issues and risks • Communicates project status directly to Executive Leadership • Provides leadership and decision-making among team technical plans
OP Business Solutions	<p>This team, consisting of OP subject matter experts (SMEs) was created specifically to oversee creation of the new system as the primary professional users. This team is responsible for reviewing and approving activities associated with design, validation and implementation of the solution.</p>
OP Tech Team	<p>This team is responsible for management of technical hardware and approving technical plans, including long-term solutions for maintenance and support of the developed system (NPS), as part of the implementation plan.</p>
OP Modernization Program Team	<p>This is a small group of temporary project title staff who are dedicated wholly to the OP Modernization Program effort. This team will embed themselves with the NYSTEC Project Mangers, Subcontractor teams, and OP teams in order to ensure that collaboration is happening efficiently, solutions are shared effectively, and that requirements are being implemented as intended by the Analysis & Design phase.</p>

Implementation Group	Description
NYSED ITS	The NYSED Information Technology Services team provides technical leadership for the implementation, ensuring that technical plans align with the overall technical goals of NYSED. Additionally, a technical architect and a lead developer who have been involved with the OP Modernization Program since 2016 will assist in providing technical leadership to the NYSTEC and Subcontractor teams.
NYSTEC Resources	NYSTEC provides a lead technical engineer, the lead product owner, and a team of business analysts to oversee and guide implementation by the technical subcontractors and to work directly with NYSED ITS and the OP Modernization Program team. They work directly with all implementation software engineers who will plan and develop software as part of the implementation. They will be responsible for managing the project schedule across the three teams and reporting to the OP Business Solutions team and the project director.
Technical Subcontractors	<p>This group made up of MWBE subcontractors and provided through NYSTEC must have advanced technical knowledge and skills in order to lead the implementation and collaboration among the three different teams. They must work in an Agile capacity and are responsible for the following:</p> <ul style="list-style-type: none"> • Design and technical plans of all system components • Software coding and development of all system components • Meeting technical timelines and informing their scrum master of any issues or risks • Demonstrating workable code via Stakeholder Demonstrations
HBITS Consultants	Hourly Based Information Technology Services (HBITS) to provide Authorized Users with information technology staff necessary to support their ever-expanding information technology needs through staff augmentation.
COTS Solution Contractors	This group is made up of the Thompson Reuters analysis and development teams and is managed by an OP Modernization Program team along with Office of Professional Responsibility (OPR) staff.
IV&V Contractor (to be selected in this procurement)	Independent Verification and Validation Contractor – The selected bidder will tentatively begin December 2023 and will be responsible for independent monitoring and assessment of project processes and deliverables.

1.3. BUSINESS PROCESSES IMPACTED

All business processes within the Office of the Professions will be affected by the OP Modernization Program implementation, including all licensing and renewal activities for professionals, corporations, and pharmacy establishments. Additionally, all activities related to the Office of Professional Responsibility (OPR), including investigations, disciplinary actions, and professional assistance. The implementation will address modernization by migrating a mainframe system as well as transitioning paper processing to electronic online applications.

1.4. CUSTOMERS / END USERS IMPACTED

Stakeholder Group	Number of Users
Office of the Professions	320
Office of Professional Responsibility	122
Professionals Applying for Licensure Annually	100,000+
Licensed Professionals in New York State	3,000,000

1.5. EXISTING SYSTEM DESCRIPTION

2. DETAILED PROJECT SCOPE

If qualifications are identified by the Authorized User as “mandatory” or “minimum”, such qualifications are deemed to be material and hence not waivable. Any Contractor proposal that does not meet or exceed the requirement must be disqualified from consideration.

The NYSED combined OP and ITS teams are seeking contractor bids for resources who will primarily function as Quality Assurance (QA) Engineers to support the second phase of development while also providing assurance to the State that milestones are met, can be met, and are realistic to meet. The OP Modernization Program project scope is ambitious, and we believe that with careful IV&V oversight and close collaboration with the Project Director, the development milestones within this bid can be met.

Development on Phase I of the OP Modernization Program began during the COVID-19 Pandemic lockdown in NYS on December 15, 2020. Partly for this reason, it was extremely challenging to find expert developer resource talent to fill the subcontractor positions. Resource issues since the pandemic subsided and NYS returned to the office have continued throughout the first phase of the implementation. This has resulted in a delay in the original timeline expectation of the New Professions System (NPS), a custom software solution primarily coded in Java. A multi-phased approach for the overarching system is planned with the second phase beginning between August 2023 and January 2024 with a phased-in approach for “strangling off” each of the 55 professions as well as their associated permits, specialties, and privileges from the mainframe system to NPS.

The Phase I implementation work established the technical foundation for the new NPS and developed a standardized and repeatable process for organizing requirements for each profession, beginning with the profession Mental Health Counseling (MHC) and related professions in the social medical sciences. By the end of Phase I, the OP Modernization Program is planning to have strangled off the majority of licensing and renewal processes from the mainframe system into NPS.

The Phase II operations will involve the remaining specialties and privileges and any other unique features/functionality for an individual or related set of professions as well as integrations with related systems for education program reviews, professional misconduct case management, and involve work to modernize the licensing, renewal, and oversight of pharmacy establishments for NYS.

The following table provides the development milestones and expected delivery timeframes for planning. The milestones with specific IV&V requirements related to oversight are elaborated in section 2.4.2. Beneath the milestones roadmap, the minimum and preferred requirements for bid candidates are listed.

Development Deliverable Milestone	Identification Number	Delivery Date
Data Exchange and Importing of Third Party Data	OPV005	January 2024

Development Deliverable Milestone	Identification Number	Delivery Date
Post -Licensure Renewals / Integration with Renewals Payments System	OPV010	May 2024
Corporations Modernization	OPV011	July 2024
Pharmacies Modernization	OPV012	September 2024
Discipline System: CLEAR & Case Tracker COTS Integration with NPS	OPV014	October 2024
Pre-Licensure for all 55 Professions	OPV006	December 2024
DPLS Administrator Dashboard	OPV009	April 2025
Education Programs Modernization	OPV013	June 2025
Data Reporting Services (Cognos Reporting)	OPV008	November 2025
Specialties, Privileges, and Enhancements to Pre-Licensure	OPV0007	December 2025
Legacy Sunset	OPV015	January 2026

2.1. PROJECT REQUIREMENTS

2.1.1. Minimum Bidder Qualifications

The Bidder responding to this Mini-Bid must meet the following minimum bidder qualifications:

- A minimum of five (5) years experience conducting IV&V engagements for technical software implementations
- A minimum of three (3) years experience conducting IV&V engagements related to an Agile development environment
- Must be a current Contractor listed under OGS Award #22772, Lot # 2
- Pricing may not be excess of the “maximum Not-To-Exceed price” established by OGS Award 22772
- Downstream prohibition criteria must be met

2.1.2. Preferred Qualifications

In addition to the minimum qualifications stated above, preference will be given to those Bidders who possess experience including any or all of the following:

- IV&V experience with mainframe migration implementation projects with a focus on migration to a relational database
- IV&V experience with data migration projects and development of new data models
- IV&V experience managing projects focused on a transition from paper to electronic
- IV&V experience with other large, complex, enterprise systems
- IV&V experience with other state or federal government enterprise systems

2.1.3. Project Timeline

It is anticipated that a contract resulting from this Mini-Bid will be effective on or about the anticipated start date of December 1, 2023 and the contract term will span a period of approximately 25 months with a post implementation/stabilization period.

2.1.4. Contractor Requirements

The following represents Contractor requirements that NYSED believes are essential for an IV&V Contractor to be successful in this engagement. It is critically important that the IV&V Contractor approach this engagement with the full intention to be embedded with the OP Modernization implementation teams and collaborate with the project leaders and other contractors.

- The IV&V Contractor shall conduct collaborative monitoring as part of the project team.
- The IV&V Contractor shall conduct independent monitoring, review project processes, and deliverables and report to project leadership.
- The IV&V Contractor shall verify that the project deliverables meet the specified requirements and validate that the deliverable achieves its intended use.
- The IV&V Contractor shall report and present its findings to NYSED. Daily project work will be accomplished through close interaction with the project team and other contractors.
- The IV&V Contractor responsibilities shall include:
 - Provide the key personnel and staffing to provide the required services for the duration of the contract
 - Prepare and submit the IV&V Plan that describes how services will be performed and documented (Deliverable Expectation Document/DED) that aligns with the reporting requirements in section 2.4.1 of this bid
 - Monitor the OP Modernization Implementation subcontractors' development, Jira tickets, and conduct quality assurance testing to assist the development teams
 - Review integrated plans and processes and recommend changes to improve effectiveness of plans and processes to NYSED Project Director
 - Review the OP Modernization Implementation project deliverables for completeness and compliance with the acceptance criteria specified in the Jira Tickets/User Stories and document findings and deficiencies
 - Prepare written and deliver verbal status reports to NYSED Project Leadership
 - Inform the Project Director as soon as a risk is identified to ensure efficiency of project deliverables and the ability to help the project stay on track with timelines and implementation goals
 - Be on-site as needed to collaborate directly and in-person (or remote through video meetings) with the project organizations (development teams, NYSED staff)
 - Identify and document findings and recommend solutions on a continual basis throughout the project to NYSED Project Manager
 - Observe and verify that testing was completed according to OP Modernization Implementation Contractor test plans and make recommendations when improvements must be made to Contractor test plans
 - Review OP Modernization Implementation Contractor data migration plan and assess its effectiveness
 - Review OP Modernization Implementation staff training plan and assess its effectiveness
 - Evaluate and provide recommendations about readiness to proceed with subsequent project phases/milestones to the NYSED Project Director

Project Kickoff Meeting

At the beginning of the contract, the Contractor shall participate in an on-site IV&V kickoff meeting with the NYSED Project Team. This meeting will be conducted at NYSED offices in Albany, NY. The objectives of this meeting include:

- Introduce Contractor staff
- Establish the working relationship between Contractor and the NYSED Project Team
- Identify primary tasks per Contractor staff team member and assign development team focus
- Update the Contractor with the current status of the OP Modernization Implementation project
- Review the project schedules and plan for the Phase II work to begin

Project Work Environment

The Contractor is expected to work with other project contractors in an efficient and professional manner. The Contractor shall report to the NYSED Project Director. Any disputes between the Contractor and other project contractors or staff shall be resolved by the NYSED Project Director.

The Contractor's key personnel, including the QA resources, shall be available to work on-site at the NYSED Offices in Albany, NY during normal business hours. Some remote work may be performed with prior agreement of the NYSED Project Director. If the COVID-19 pandemic is still an issue in Albany, NY or becomes an issue again in the future, then consideration will be taken for remote work to protect the health and safety of all staff.

The Contractor will be provided cubicle spaces and personal computers with NYSED network access. The Contractor is responsible to provide all needed equipment for its personnel including cell phones, offices supplies, etc.

Project Document Repository

The implementation teams are using Confluence and Jira for management of documentation and development teamwork. NYSED will establish a project SharePoint website that shall be the repository for all project related documents. The Contractor key personnel will be provided access to this site and shall be expected to post and maintain all project related documents there. The Contractor will work with the Project Director to determine the best fit for content among the three systems as well as how references are made between documentation and the online systems (Confluence and Jira).

Change Management

The Contractor shall develop and maintain a plan to manage and coordinate proposed changes to the project work scope. No changes to work scope shall be undertaken without the prior, documented approval of the NYSED Steering Committee.

Contractor's Project Team

The contractor awarded under this Mini-Bid shall provide staffing in adequate numbers and with appropriate expertise to fulfill the duties of the project as outlined in this Mini-Bid.

The contractor shall submit resumes of staff hired under the terms of this contract for the NYSED Project Director's review prior to the start of work. The NYSED Director reserves the right to approve or disapprove the contractor's proposed staffing.

Changes to the Contractor's Project Team

Any changes to the Contractor's project team must be approved by the NYSED Executive Stakeholder group. The Contractor shall provide for the continuity of the responsibilities of any position that must be reassigned or replaced with a qualified replacement made available within ten (10) business days, subject to the review and approval of the NYSED Steering Committee. Should the need arise to make substitutions for any member of the project team, the Contractor will promptly provide resumes of comparably experienced staff for the NYSED Steering Committee's review and approval.

2.2. PROJECT CONSULTING KEY PERSONNEL REQUIREMENTS		
JOB FUNCTION / DESCRIPTION	REQUIREMENTS	KEY PERSONNEL
IV&V and QA Project Manager (1)	<ul style="list-style-type: none"> A minimum of 3 years experience in use of Jira and Confluence website technologies A minimum of 3 years experience in Agile Quality Assurance and Product Owner development practices Able to lead two junior QA staff and work as part of her/his development team 	<input checked="" type="checkbox"/>

	<ul style="list-style-type: none"> • Manage all deliverables of the contract and provide direction and mentorship to two junior QA staff • Report to and take direction from NYSED Project Director • Coordinate IV&V work efforts and collaborate across all three development teams to ensure QA efforts are meeting deliverable requirements • Prepare and Present IV&V Monthly Status Reports to NYSED • Review all sprints and planned development to ensure coverage of implementation milestone goals • Maintain QA Confluence page with overview of project, details of which and format will be determined and agreed upon with the Project Director • Post all project documents to the NYSED SharePoint site • Participate in project team meetings as required to ensure holistic view of the program • Review quality control processes and identify areas needing improvement to the Project Director • Manage the invoicing and hours of entire QA Contractor staff • Ensure that all deliverables of the OP Modernization Implementation Subcontractors are validated and verified • Coordinate with the NYSTEC Project Manager regarding risks and issues along with suggestions for improvement related to subcontractor deliverables • Ensure that all requirements and deliverables of the OP Modernization Implementation Contractor are documented in Jira and Confluence 	
<p>IV&V Quality Assurance Resources (2)</p>	<ul style="list-style-type: none"> • A minimum of 3 years experience in use of Jira and Confluence website technologies • A minimum of 3 years experience in Agile Quality Assurance • Work as an embedded team member alongside NYSED and Contractor resources to realize success of the OP Modernization Program • Experience implementing and managing automated testing • Support all development team sprint Story creation and QA activities • Assist with development test cases for all development tasks • Report status on progress, risks, and issues of deliverable milestones to QA project manager • Assist QA project manager with final reviews and confirmation of completeness and correctness of all development milestones 	<p>☒</p>

2.3. PROJECT DELIVERABLES NARRATIVE

The OP Modernization Program’s individual projects will be implemented by many different teams, so it is essential that any bidding vendor understand the size and scope of this program and its many projects, and the expectation is that any bidding vendor adjust to what can sometimes be an ever-changing environment with so many different projects and multiple custom-coded ongoing efforts. The bidding vendor is expected to work collaboratively with the various teams and primarily with the OP Modernization Program Team and Technical Subcontractor Teams to assist with verifying the delivery of the NPS but will need to have awareness and understanding of the other projects and, especially, how the other projects, such as the Online Applications and the COTS solution for Discipline, will integrate and work with NPS to deliver the complete modern solution for OP.

Since the OP Modernization Program Implementation is already in progress, any bidding vendor will have to spend significant time learning about the progress and challenges in Phase I, which began in December 2020. The IV&V QA resources will be embedded within the OP Modernization Program development teams and will be acclimated to the development teamwork through a series of meetings to help the resources understand the work and become part of the team. Through other standard weekly meetings and working with the Project Director and other program resources, the IV&V vendor will learn about the Phase I work and better understand the work involved in Phase II.

Deliverables will involve work that may have been delayed from Phase I and all work involved in Phase II. The project scope and its deliverables between the Phase I start in December 2020 and Phase II are very similar; however, more granular refinement of tasks and more time has been added to the original plan given the great complexity in migrating data and rebuilding a system based on a nearly 40-year-old mainframe system.

The Contractor shall provide the required deliverables documented in Confluence and on SharePoint in a similar manner as the Phase I IV&V vendor provided, which will be shared during the Onboarding and Kick-Off phases. The IV&V Phase II vendor shall work with NYSED to ensure that said deliverables are provided within the timeframes outlined in the Section 2.4 Project Deliverables. These deliverables shall be the basis against which the Contractor's performance shall be evaluated and upon which payments will be made. Payment for the on-going project reporting deliverables will be distributed equally, monthly, across the term of the contract. All payment of project deliverables will be based on NYSED acceptance of the deliverable per Section 2.4.3.

All deliverables shall be identified with the NYSED numbering scheme shown in the ID # column below as well as the date or month in the file name. When there are multiple items for a single deliverable, they shall be numbered with appropriate indexing. For purposes of this Mini-Bid, the terms "shall," "must," and "will" are used interchangeably, and all are to be assumed as mandatory deliverables.

2.4. PROJECT DELIVERABLES

2.4.1. On-going Project Reporting

The following is the reporting that will be conducted during the duration of the 25-month contract. The total hours bid must include the total hours needed for the duration of the contract. See Section 2.4.3 Acceptance Process and Criteria.

ID #	Description of Ongoing Project Reporting	Frequency
OPV001	<p>DED/Deliverables Expectation Document to be developed within the first month of the IV&V engagement, after meeting with the Project Director, Project Coordinator, and development teams to learn more about the work and provide a standard for working on and delivering the IV&V project reporting herein described.</p> <ul style="list-style-type: none"> • IV&V Team has access to Jira and Confluence and suggests any improvements or organization changes • Structure suggested for organizing IV&V work on Confluence • Communication plan for escalating risks and issues to Project Director • Establish primary focus in reporting to Steering Committee • Format for Monthly Status Report Presentation is established in a suggested PPT • Delivery and Approval workflows, including Project Director sign-off is established and documented 	One time delivery within the first 30 days of the contract start date.

ID #	Description of Ongoing Project Reporting	Frequency
	<ul style="list-style-type: none"> All team meetings are established through Outlook 	
OPV002	<p>Monthly Steering Report Presentation to Project Director and Executive Stakeholders to identify project progress, risks, and to provide suggestions for how to address any issues.</p> <ul style="list-style-type: none"> PPT presentation, organization to be determined as part of DED Review of progress and what risks/issues need to be addressed Suggestions of improvements to be made to mitigate risks/issues Once development is begun, include review of software development bugs 	Monthly on the third week of the month
OPV003	<p>Weekly Report of Completed, Ongoing, and Upcoming Development and Deliverables</p> <p><i>This is not a fixed-price deliverable but part of expected daily work. Deliverable OPV003 will not appear on the financial template.</i></p> <ul style="list-style-type: none"> Review of Development Work with Analysis of what is working well, what can be improved, and identify measures the program can take for continued progress Report identifies the progress made for each development team within the week Report identifies any major issues that should be addressed by the Project Director Report identifies any decisions or issues that should be escalated to leadership 	Reviewed Tuesdays
OPV004	<p>End of Milestone Review Report by each milestone in 2.4.2, the Contractor should develop a report that confirms all bulleted items as part of the deliverable</p> <p><i>This is not a fixed price, individual deliverable but the work/cost should be incorporated into each deliverable within Section 2.4.2. Deliverable OPV004 will not appear on the financial template.</i></p> <ul style="list-style-type: none"> Provide executive summary of work completed If any work is incomplete, provide overview and reasons for non-delivery by the implementation team Provide suggested improvements and next steps to address any incomplete work For any incomplete work, help to develop a plan with implementation team to complete work, including estimated timeframes and any features/functionality that may be at risk of full delivery 	Delivered within five business days of stakeholder demonstration that includes last Jira ticket in a 2.4.2 milestone deliverable

2.4.2. Document-Based Development Deliverables

The following are the Deliverables-Based Development Milestones required for project success and describes what must be verified by the IV&V Contractor in addition to delivery of the on-going project deliverables defined in 2.4.1. The total hours bid must include the total hours needed to complete each deliverable. See Section 2.4.3 Acceptance Process and Criteria.

ID #	Description of Review of Deliverable-Based Milestones	Due Date
OPV005	<p>Data Exchange and Importing of Third Party Data</p> <ul style="list-style-type: none"> • Assist with creation and verify that repeatable communication processes are established for all third-party vendors who will use DOCS for providing data to OP • Confirm that a documented plan exists for working with third party vendors, including contact information and schedule, and assist with identifying gaps among vendor outreach for the following domains: <ul style="list-style-type: none"> ○ Education ○ Exams ○ Eligibility and Authority to Test (ATT) ○ Child Abuse and Infection Control • Report weekly to the Director via OPV003 about risks or issues and also successful progress • As part of OPV004, prepare and deliver to Director a final report of the work completed for the deliverable 	January 2024
OPV006	<p>Pre-Licensure for all 55 professions</p> <p>Note: Development on the above professions is in progress at the time of writing this contract. The work may be minimal to meet this deliverable.</p> <ul style="list-style-type: none"> • Review all development work involved with deliverable and confirm that approach includes QA testing • Review and assist with creating acceptance criteria for Jira tickets for associated development tasks • Assist with development of a final demonstration of completed work with the development team and lead technical engineer to present during a monthly executive stakeholders' status meeting • Validate and verify correctness of licensure pathways for all professions • Validate and verify completion for professionals to apply to 55 professions through electronic processes • Validate and verify the correctness of workflows for DPLS and State Board Office staff to work on pre-licensure activities • Validate and verify connection between NPS and DOCS as well as integration with Application Status Indicator on User Dashboard • Validate and verify connection between NPS and data tools and workflows • Report weekly to the Director via OPV003 about risks or issues and also successful progress • As part of OPV004, prepare and deliver to Director a final report of the work completed for the deliverable 	December 2024

ID #	Description of Review of Deliverable-Based Milestones	Due Date
OPV007	<p>Specialties Privileges, and Enhancements to Pre-Licensure</p> <p>There are 18 nursing specialties as well as about a dozen other professions that have specialties. Additionally there are many professions with special privileges, such as providing the privilege for Pharmacy Technicians to give vaccines. Every year, new specialties and privileges are added as more oversight is added to professions managed by NYSED.</p> <p>It is anticipated that the release of 55 professions in NPS in December 2024 will require a careful review of all specialties and privileges and will also include enhancements to professional licensing that were not identified during analysis, design, and development. This Deliverable plans for IV&V oversight of this work.</p> <ul style="list-style-type: none"> • Review all development work involved with deliverable and confirm that approach includes QA testing • Review and assist with creating acceptance criteria for Jira tickets for associated development tasks • Assist with development of a final demonstration of completed work with the development team and lead technical engineer to present during a monthly executive stakeholders' status meeting • Validate and verify correctness of licensure pathways for all professions • Validate and verify licensing completeness for every profession • Validate and verify the correctness of workflows for DPLS and State Board Office staff to work on pre-licensure activities • Validate and verify connection between NPS and DOCS as well as integration with Application Status Indicator on User Dashboard • Validate and verify connection between NPS and data tools and workflows • Report weekly to the Director via OPV003 about risks or issues and also successful progress • As part of OPV004, prepare and deliver to Director a final report of the work completed for the deliverable 	December 2025

ID #	Description of Review of Deliverable-Based Milestones	Due Date
OPV008	<p>Data Reporting Services (Cognos Reporting) Note: Development on the Cognos Reporting is in progress at the time of writing this contract. The work may be minimal to meet this deliverable.</p> <ul style="list-style-type: none"> • Verify that documented coverage of Cognos reporting will successfully replace mainframe reporting <ul style="list-style-type: none"> ○ Document and report to Director any gaps in reporting that should be addressed by team ○ Assist team with solutioning for identified gaps in reporting • Validate all reports in Cognos for correctness against legacy mainframe reports • Assist with and verify that report training is planned, accurate, and conducted with all OP staff who are involved with any reporting • Validate and verify processes in place for DPLS staff to work data errors • Report weekly to the Director via OPV003 about risks or issues and also successful progress • As part of OPV004, prepare and deliver to Director a final report of the work completed for the deliverable 	November 2025
OPV009	<p>DPLS Administrator Dashboard</p> <ul style="list-style-type: none"> • Verify that development solution chosen, custom code or a low-code solution, will allow for successful migration of all DPLS and Board staff licensing and renewal system activities • Review all development work involved with deliverable and confirm that approach includes QA testing • Review and assist with creating acceptance criteria for Jira tickets for associated development tasks • Assist with development of a final demonstration of completed work with the development team and lead technical engineer to present during a monthly executive stakeholders' status meeting • Validate and verify correctness of access and authorization through NY.gov ID for NPS • Validate and verify completeness and correctness of users' online application status indicator for all professions • Validate and verify NPS connection to and integration with the OP Renewals System • Validate and verify modernized solution for License parchment and registration certificate printing • Report weekly to the Director via OPV003 about risks or issues and also successful progress • As part of OPV004, prepare and deliver to Director a final report of the work completed for the deliverable 	April 2025

ID #	Description of Review of Deliverable-Based Milestones	Due Date
OPV010	<p>Post-Licensure Renewals / Integration with Renewals Payments System</p> <ul style="list-style-type: none"> • Review all development work involved with deliverable and confirm that approach includes QA testing • Review and assist with creating acceptance criteria for Jira tickets for associated development tasks • Assist with development of a final demonstration of completed work with the development team and lead technical engineer to present during a monthly executive stakeholders' status meeting • Validate and verify correctness of the update to the online Renewals System • Validate and verify ability for NPS to integrate with Renewals Payments System • Validate and verify the correctness of workflows for DPLS and State Board Office staff to work on post-licensure activities in NPS • Validate and verify that NPS is automatically populated in near-real time with Renewals System data • Validate and verify correctness of populated data • Validate and verify that NPS solution for creating Registration Certificates is successful • Validate and verify that Renewals Notices are successfully sent from NPS to Professionals • Validate and verify ability for DPLS staff to work Moral Character Holds within NPS • Validate and verify DPLS staff can work Delayed Registration within NPS • Report weekly to the Director via OPV003 about risks or issues and also successful progress • As part of OPV004, prepare and deliver to Director a final report of the work completed for the deliverable 	May 2024

ID #	Description of Review of Deliverable-Based Milestones	Due Date
OPV011	<p>Corporations Modernization</p> <p>Note: Development on Corporations is in progress at the time of writing this contract. The work may be minimal to meet this deliverable.</p> <ul style="list-style-type: none"> • Review all development work involved with deliverable and confirm that approach includes QA testing • Review and assist with creating acceptance criteria for Jira tickets for associated development tasks • Assist with development of a final demonstration of completed work with the development team and lead technical engineer to present during a monthly executive stakeholders' status meeting • Validate and verify correctness of Online Applications for new Corporations • Validate and verify ability for corporations to renew registration • Validate and verify public display of Corporations data, including linkage to Supervisor professionals • Validate and verify completeness and correctness of DPLS staff to manage all Corporations work within NPS • Report weekly to the Director via OPV003 about risks or issues and also successful progress • As part of OPV004, prepare and deliver to Director a final report of the work completed for the deliverable 	July 2024
OPV012	<p>Pharmacies Modernization</p> <ul style="list-style-type: none"> • Review all development work involved with deliverable and confirm that approach includes QA testing • Review and assist with creating acceptance criteria for Jira tickets for associated development tasks • Assist with development of a final demonstration of completed work with the development team and lead technical engineer to present during a monthly executive stakeholders' status meeting • Validate and verify correctness of Online Applications for new Corporations • Validate and verify ability for corporations to renew registration • Validate and verify public display of Corporations data, including linkage to Supervisor professionals • Validate and verify completeness and correctness of DPLS staff to manage all Corporations work within NPS • Report weekly to the Director via OPV003 about risks or issues and also successful progress • As part of OPV004, prepare and deliver to Director a final report of the work completed for the deliverable 	September 2024

ID #	Description of Review of Deliverable-Based Milestones	Due Date
OPV013	<p>Education Programs Modernization</p> <p>Note: Development work is being handled by a third party vendor who is not directly responsible to OP. The work may be minimal to meet this deliverable.</p> <ul style="list-style-type: none"> • Coordinate with the OP Education Unit and support collaboration with the Office of College and University Evaluation (OCUE) regarding their modernization efforts that involve OP and verify OP requirements are addressed in the selected modern solution • Review development work planned by third party vendor and confirm that OP Education Unit requirements will be met • Assist with planning for UAT for the OP Education Unit and verify accuracy of test plans and coverage • Validate and verify transmission of and ability to maintain data about all education programs in NPS from modern OCUE and OP Education Unit modern solution • Validate and verify ability for external eEducation Programs to apply for approval of licensure-qualifying status by OP • Validate and verify a modern plan for Continuing Education Providers and Comparative Education Programs to apply for approval by OP • Validate and verify renewals workflows plans for all three major areas of education at OP • Validate and verify completeness and correctness of DPLS staff to manage Education Programs updates within NPS • Report weekly to the Director via OPV003 about risks or issues and also successful progress • As part of OPV004, prepare and deliver to Director a final report of the work completed for the deliverable 	June 2025

ID #	Description of Review of Deliverable-Based Milestones	Due Date
OPV014	<p>Discipline System: CLEAR & CaseTracker COTS Integration with NPS</p> <p>Note: Development on the solution for Disciplinary Case Management is in progress through a third party vendor at the time of writing this contract. The work may be minimal to meet this deliverable.</p> <ul style="list-style-type: none"> • Review all development work involved with deliverable and confirm that approach includes QA testing • Review and assist with creating acceptance criteria for Jira tickets for associated development tasks • Assist with development of a final demonstration of completed work with the development team and lead technical engineer to present during a monthly executive stakeholders' status meeting • Validate and verify electronic connection, such as API, to NPS for management of disciplinary data • Validate and verify training documentation and planning throughout the regional state offices for any disciplinary case management solution • Report weekly to the Director via OPV003 about risks or issues and also successful progress • As part of OPV004, prepare and deliver to Director a final report of the work completed for the deliverable 	October 2024
OPV015	<p>Legacy Sunset</p> <ul style="list-style-type: none"> • Review all development work involved with deliverable and confirm that approach includes QA testing • Review and assist with creating acceptance criteria for Jira tickets for associated development tasks • Assist with development of a final demonstration of completed work with the development team and lead technical engineer to present during a monthly executive stakeholders' status meeting • Validate and verify multi-phased approach for legacy sunset of the mainframe system • Validate and verify how the modern solution is the "System of Truth" and present to stakeholders • Re-Validate and verify the correctness of the newly developed NPS data model to meet OP needs • Assist OP with final review of final solution and oversee final steps and approval • Assist with development of a "Disaster Recovery" plan, including communication plan • Report weekly to the Director via OPV003 about risks or issues and also successful progress • As part of OPV004, prepare and deliver to Director a final report of the work completed for the deliverable 	January 2026

2.4.3. Acceptance Process and Criteria

The Contractor shall provide document-based Deliverables in the form and format agreed to by the NYSED Project Director, based on the Deliverables Expectation Document (DED). The deliverable expectation documentation shall include, but not be limited to, deliverable ID number, title, frequency, draft and final due dates, approval requirements, outline of contents, and delivery of media as well as include details about format and presentation of Ongoing project Deliverables noted in section 2.4.1.

The deliverable review process is expected, for the majority of deliverables, to be composed of a face-to-face meeting between the IV&V Contractor team and the Project Director. The Contractor should develop a simple template to record details from any face-to-face deliverable review meeting and to document sign-off or updates to be made for sign-off to be provided.

1. For the monthly status report Deliverable, NYSED shall have an acceptance period beginning on the date written notification of completion was received from the Contractor and as outlined herein, but completion is finalized as part of the presentation to stakeholders. The presentation slides must be provided to NYSED for review at least two days prior to the stakeholder presentation. The presentation must be organized and planned by the Contractor through collaboration with the Project Director
2. For each Ongoing Project Deliverable (as defined in Section 2.4.1) other than status reports, NYSED shall review with the Contractor QA engineers as part of a meeting organized and planned by the Contractor. A deliverable review document should be developed by the Contractor in order to record approval as part of the meetings organized by frequency in 2.4.1 All Document-Based Deliverables (as defined in Section 2.4.2) shall require written approval by the Project Director or written designee that such Deliverables comply with the terms of the Agreement. The number of business days for any NYSED initial review of a document-based Deliverable shall be no more than five (5) business days, unless otherwise mutually agreed to by NYSED Project Director and the Contractor's QA Manager in the Project Work Plan. The five (5) day period shall begin upon written transmittal by the IV&V Contractor Project Manager to NYSED Project Manager that the Deliverable is in final form and ready for approval and shall be counted from and include the first working day following the delivery of the Deliverable to NYSED. NYSED shall provide Contractor (i) with approval of the Deliverable or (ii) with a written statement of the itemized deficiencies preventing approval.

2.a. The Contractor shall have five (5) business days to complete all corrective actions or changes in order for such document-based Deliverable to conform in all material respects with the requirements set forth in the Agreement. The count of such business days shall begin on the first business day following Contractor's receipt of the written statement of required corrective actions or changes.

If NYSED cannot approve the document-based Deliverable after correction by Contractor, the Contractor's Project Manager and NYSED Project Director may mutually agree to further steps to correct outstanding material deficiencies. However, in no event shall the total time allocated for review, correction, and re-review of material deficiencies in a Deliverable exceed forty (40) business days, except for good cause in the sole discretion of the State.

NYSED will have final approval of all Deliverables.

2.5. PROJECT RISK ASSESSMENT

KNOWN RISK	SUGGESTED MITIGATION STRATEGY (IF KNOWN)
The OP Modernization Implementation was originally planned as seven year project. Time constraints imposed by the Executive branch have resulted in an accelerated timeline that may be problematic.	The IV&V Contractor must at all times keep the timeframe and delivery of milestones in close review to advise the Project Director of any early issues that need to be addressed. With careful oversight and visibility, NYSED can help to make decisions on how best to manage a potential delay of complete milestones intended to be delivered in December 2024-25.

2.6. AUTHORIZED USER SECURITY REQUIREMENTS

The contractor and all of its subcontractors performing work on the contract resulting from this procurement must sign a Non-Disclosure Agreement (Information Protection Agreement) provided by NYSED, assuring the confidentiality of all work and discussions carried out under this contract after the contract is awarded. These signed agreements must be submitted to NYSED within seven (7) days after the contract has been executed, and prior to any work being done.

It is anticipated that access to the new system will be controlled using NY State's NY.govID identity and password services for employees, consumers, and vendors.

The contractor will have to complete the Non-Employee Information Form, provide evidence of a state or federal ID, and also complete a Data Privacy Agreement (DPA).

In particular, the new system must comply with New York's data encryption standards for data in transit and data at rest. In addition to the Security Requirements included with this PBITS procurement, the Contractor agrees to comply with all NYSED security requirements throughout the term of the contract.

2.7. AUTHORIZED USER INSURANCE REQUIREMENTS

No additional requirements

3. GENERAL TERMS AND CONDITIONS

3.1. DEFINITIONS

Term	Description
CMS	Customer Management System, the Office of the Professions uses the Oracle Ticketing System and the Verizon Call Center (VCC) for managing customer support.
COBOL	This is the computer-language in which the mainframe system to be migrated as part of the OP Modernization implementation is focused upon and stands for for "common business-oriented language."
Confluence	Software utilized by the OP Modernization implementation for documentation and sharing of resources and information.
COTS	Custom Off The Shelf refers to software that can be acquired and, in some instances, customized to the needs of the business.

Term	Description
DOCS	Data Onboarding and Collection Service refers to the implementation effort to develop a data exchange interface and workflow for third party upload and download to and from the Office of the Professions for data related to pre-licensure activities, such as exchange of exam scores.
DPLS	Division of Professional Licensing Services refers to the staff who work directly with pre- and post-licensing work, much of which will be transitioned from paper to electronic as part of the OP Modernization Program.
ITS	Division of Information Technology Services, a major collaborator at NYSED for implementation work.
Jira	Software utilized by the OP Modernization implementation for online workflow management and documentation of User Stories and Acceptance Criteria.
MWBE	Minority and Women Owned Business Enterprises, a major initiative in New York State to focus on building more diversity and opportunity in the workplace.
NPS	New Professions System is the to-be developed system for the OP Modernization implementation that will exist of online applications to replace the myriad paper processes and multiple databases used today in the Office of the Professions to manage licensing and renewal activities.
NYSED (or SED)	New York State Education Department or simply State Education Department
NYSTEC	New York State Technology Enterprise Corporation, the contractor responsible for Analysis & Design and for managing the group of subcontractors engaged for the primary development of the implementation.
OGS	Office of General Services is a NYS division that manages the large statewide contracts, such as PBITS, in the state.
OP	Office of the Professions manages all professional licensing and renewal activities for more than 50 professions in NYS.
OPR	Office of Professional Responsibility manages a professional disciplinary cases, including investigations, discipline, and restoration.
PIMS	Professional Improvement and Management Services is the division that oversees ITS and OP work.
QA	Quality Assurance or Quality Assurance Testing represents the concept of checking for completeness of work, especially when related to technical development work.
ROSA	Read Only Strangle Approach is the data migration implementation concept of establishing an exact copy of the source-of-truth database as a staging platform that will exist in tandem as online services or applications are developed to replace the outdated mainframe. Once migration is complete, the mainframe process will be terminated or “strangled off” and fully replaced by the modernized electronic solution.
UAT	User Acceptance Testing is the manual review of development features and functionality by a human user who is using the system in a way that mimics the real-world users who will interact with the released final product.
VCC	Verizon Call Center, implemented in 2019, the VCC tracks all incoming phone calls to OP and also provides support chat services for some specific common questions to OP.

Term	Description
Velocity	Velocity is an Agile development philosophy term that indicates the rate at which a development team completes development tasks. The Velocity is a measurement for reviewing the rate of a team's ability to complete work and, according to Agile principles, should increase as sprinting continues.

3.2. MINI-BID WITH STATEMENT OF WORK DOCUMENT AND ATTACHMENTS

This Mini-Bid procurement consists of this mini-bid document known as PBITS #23-003 and the attachments and appendices set forth in the Table of Contents.

3.3. ADDITIONAL TERMS AND CONDITIONS

PROCUREMENT LOBBYING LAW

Pursuant to State Finance Law §§139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between the New York State Education Department (NYSED) and an Offeror/bidder during the procurement process. An Offeror/bidder is restricted from making contacts from the earliest notice of the solicitation through final award and approval of the Procurement Contract by NYSED and, if applicable, Office of the State Comptroller ("restricted period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law §139-j(3)(a). Designated staff, as of the date hereof, is identified below. NYSED employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the Offeror/bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the Offeror/bidder is debarred from obtaining governmental Procurement Contracts. Further information about these requirements can be found at [NYSED's Procurement Lobbying Law Policy Guidelines webpage](#).

Designated Contacts for NYSED
 Program Office –Heather Klusendorf
 Contract Administration Unit – Jessica Hartjen
 M/WBE – Brian Hackett

The selected contractor must execute NYSED's Information Protection Agreement within 7 days after the contract has been executed and prior to any work being done.

3.4. AUTHORIZED USER RESPONSIBILITIES

NOT APPLICABLE

3.5. AUTHORIZED USER DISPUTE RESOLUTION PROCEDURE

Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

3.6. ENHANCEMENT BUDGET PROVISION

Following the initial contract award, NYSED may wish to negotiate an Enhancement Budget in excess of the total cost proposal. These enhancements shall not exceed 10% of the initial total cost proposal. This figure is applied after the negotiations with the tentative Awardee and should not be included with the Contractor's submission in response to this document. The total cost including any enhanced budget

amount may not exceed the Lot parameters from which the award was made. Enhanced deliverables agreed to with the Contract Awardee shall be included and paid in the final deliverable payment.

3.7. TRAVEL

Travel reimbursement will not be provided under this agreement.

3.8. RETAINAGE

NYSED will retain an amount equal to ten percent (10%) of the cost of each Deliverable performed by Contractor for services under this Agreement. The retained amount shall be paid to Contractor upon the occurrence of both of the following:

- Final Acceptance by SED of all Deliverables for services under this agreement.
- Final Review of the New Professions System aligning to the Deliverables within this contract.

3.9. ADDITIONAL INCENTIVES

NOT APPLICABLE

3.10. DEBRIEFING AND PROTEST PROCEDURE

All unsuccessful bidders may request a debriefing within fifteen (15) calendar days of receiving notice from NYSED of non-award. Bidders may request a debriefing by submitting a written request to cau@nysed.gov.

Bidders who receive a notice of non-award or disqualification may protest the NYSED award decision subject to the following. The protest must be in writing and must contain specific factual and/or legal allegations setting forth the basis on which the protesting party challenges the contract award by NYSED. The protest must be filed within ten (10) business days of receipt of a debriefing or disqualification letter. The protest letter must be filed with cau@nysed.gov. A protest review committee will be formed, which will include NYSED counsel, CAU, and the Program Office. Counsel's Office will provide the bidder with written notification of the review team's decision within ten (10) business days of the receipt of the protest. The NYSED Contract Administration Unit (CAU) may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest only raises issues of law that have already been decided by the courts.

4. CONTRACTOR RESPONSE

Contractor: Please convert the Administrative Proposal, Technical Proposal, and MWBE Documents to PDF, attach the PDFs with the Financial Proposal in Excel format, and e-mail before the Mini-Bid Deadline as specified on page 1.

The Contractor's full submission shall consist of four responses:

- Administrative Proposal (PDF format of forms included in Attachment 02)
- Technical Proposal (PDF format, following instructions in section 4.2)
- Financial Proposal (Excel format of completed Attachment 01)
- MWBE Documents (PDF of completed forms included in Attachment 02)

4.1. ADMINISTRATIVE RESPONSE

The Contractor Submission must be fully and properly executed by an authorized person. By signing you certify your express authority to sign on behalf of yourself, your company, or other entity; full knowledge and acceptance of this Mini-Bid (including any Questions/Answers or addendums) and the OGS Centralized Contract; and that all information provided is complete, true and accurate.

Contractor affirms that it understands and agrees to comply with the Authorized User's procedures relative to permissible contacts. Information may be accessed at:

Procurement Lobbying: [NYSED's Procurement Lobbying Law Policy Guidelines](#)

The Authorized User will not be held liable for any cost incurred by the Contractor for work performed in the preparation of a response to this Mini-Bid or for any work performed prior to the formal execution of an Authorized User Agreement. Responses to the Mini-Bid must be received as specified in Key Dates and Events. Contractor assumes all risks for timely, properly submitted deliveries of this Mini-Bid response. A Contractor is strongly encouraged to arrange for delivery of Mini-Bid responses prior to the date of the bid opening. Late mini-bid responses will be rejected. The received time of Mini-Bid responses will be determined by the clock at the Authorized User's location.

4.2. TECHNICAL RESPONSE

The purpose of the Technical Proposal is to demonstrate the qualifications, competence, and capacity of the Bidder to perform the services contained in this Mini-Bid. The Technical Proposal should demonstrate the qualifications of the Bidder and of the staff to be assigned to provide the defined services.

A Technical Proposal that is incomplete in any material respect may be eliminated from consideration. The following outlines the required information to be provided by Bidders, in the designated order. The information requested should be provided in the prescribed format. Responses that do not follow the prescribed format may be eliminated from consideration. All responses to the Mini-Bid shall be subject to verification for accuracy.

Please provide the information in the same order in which it is listed below, with tabulated format to match each criterion. For example, Tab I – Title Page, Tab II – Table of Contents, Tab III – Executive Summary, etc. The Bidder's proposal should contain sufficient information to ensure NYSED of its accuracy. The Bidder's Technical Proposal (excluding attachments, work samples and project plan), should be limited to **no more than 25 pages**. Failure to follow these instructions may result in disqualification.

If the Contractor's proposal includes use of a subcontractor to meet the bid requirements and / or complete work on the Mini-Bid's required deliverables, the Contractor must note throughout the technical proposal when Contractor resources and when subcontractor resources will be used. The Contractor must also note in the technical proposal the name and business address of the subcontractor and the Contractor's previous work with the subcontractor. NYSED reserves the right to require proof of the selected contractor and subcontractor agreement for work on the required deliverables prior to executing a final agreement with the selected contractor.

Cost information must not be included in the Technical Proposal documents, doing so may invalidate the submission of your bid.

1. Title Page

The Title Page should identify the Mini-Bid subject and number; the Bidder's name and address; the name, address, telephone number, and e-mail address of the Bidder's contact person; and the date of the Proposal.

2. Table of Contents

The Table of Contents should identify each major section of the Bidder's proposal, along with its initial-page number. It should also include all attachments or addendums to the Proposal.

3. Executive Summary

The Bidder should provide a brief and concise description of the proposed approach and work effort. The Bidder should describe any unique capabilities that speak to why its services may be superior to those of its competitors.

4. Minimum Qualifications

The Bidder must provide certification on the Minimum Qualifications Certification Form (contained in Attachment 02) and documentation proving it meets the requirements defined in Section 2.1.1, Minimum Bidder Qualifications.

5. Experience and Staffing

In addition to meeting the Minimum Qualifications in Section 2.1.1, the Bidder shall elaborate and provide qualitative details about its experience and ability to meet the preferred qualifications in Section 2.1.2. This experience should include the following:

Work Samples

The Bidder should provide relevant work samples that provide tangible evidence of experience similar in nature to the work defined in this Mini-Bid.

Company References

Using Contractor References form in Attachment 02, the Bidder should provide three references from recent engagements, preferably other public sector entities.

Personnel

The Bidder should provide profile information for each of the proposed key staff, including subcontracted staff. Profile information should include:

- Name
- Proposed role on this project and planned time to be spent on this project
- Years of relevant experience
- Description of relevant experience
- Educational qualifications and professional certifications
- Indication as to which referenced projects this individual worked on

6. Project Schedule and Staffing Plan

The project schedule should include:

- Tasks and milestones
- Start and finish dates/task durations
- Task/Milestone dependencies (i.e., predecessors and successors)

- Resource allocations
- Critical path

The Bidder should also provide an accompanying staffing plan that includes, at a minimum:

- Details of how staffing will be provided to meet the project deliverables over the entire lifecycle of the engagement
- The degree to which Bidder staff will work on-site at NYSED
- Any assumptions that the Bidder has made about the expected level of effort of staff on the project

7. Approach

The Bidder should describe its approach to executing the project and achieving all required deliverables, including:

- How its experience, practices, and procedures will ensure a successful project
- How its approach will ensure a quality product and timely completion

4.3. FINANCIAL RESPONSE

The Bidder shall complete and submit Attachment 01 – Mini-Bid Financial Proposal. **Failure to comply with the mandatory format and content requirements may result in disqualification.** The bid price shall cover the cost of furnishing all of the defined services and deliverables, including but not limited to materials, equipment, travel expenses, profit and labor, and the performance of all work set forth in this document. The Mini-Bid Financial Template requires the Bidder to provide pricing for each deliverable and a Total Fixed Price for the Project. Totals will be automatically calculated based on the hours and pricing entered.

The Total Fixed Price for the Project as shown in Attachment 01 - Mini-Bid Financial Proposal will be used for the cost evaluation.

5. MINI-BID EVALUATION PROCESS

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

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

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

Bidders may be requested by NYSED to clarify the contents of their proposals. Other than to provide such information as may be requested by NYSED, no Bidder will be allowed to alter its proposal or add information after the Deadline for Submission of Proposals listed in Key Events and Dates.

In the event of a tie, the determining factors for award, in descending order, will be: (1) lowest cost; and (2) proposed percentage of M/WBE participation.

5.1. SUBMISSION REVIEW

NYSED will examine all proposals that are received in a proper and timely manner to determine if they meet the proposal submission requirements, as described in Section 4 (Contractor Response), and include the proper documentation, including all documentation required for the Administrative Response, as stated in this Mini-Bid. Proposals that are materially deficient in meeting the submission requirements or have omitted material documents, in the sole opinion of NYSED, may be rejected.

5.2. TECHNICAL EVALUATION

A Technical Evaluation Committee (TEC) comprised of NYSED staff will review and evaluate all proposals that meet minimum Bidder Qualifications and submission requirements. The TEC members will independently score each Technical Proposal that meets the submission requirements of this Mini-Bid. The Technical Evaluation is 70% (up to 70 points) of the final score.

Technical Evaluation	70 Points
Written Technical Proposal Experience and Staffing (20 points) Project Schedule and Staffing (20 points) Approach (20 points)	60
Technical Presentation	10

5.3. COST EVALUATION

The Cost Evaluation Committee (CEC) will review and evaluate all Financial Proposal documents. The Financial Proposals will be opened and reviewed for responsiveness to cost requirements. If a Financial Proposal is found to be non-responsive, that proposal will not receive a cost score, and will be eliminated from consideration.

Each proposal that meets the submission requirements and meets the Financial Proposal requirements will receive a cost score. The Financial Proposal will be scored based on a maximum of 30 points. The Total Bid Price submitted in Attachment 01 - Mini-Bid Financial Proposal will be used for the cost evaluation.

The maximum cost score will be allocated to the proposal with the lowest all-inclusive not-to-exceed maximum price. All other responsive proposals will receive a proportionate score based on the relation of their Financial Proposal to the proposals offered at the lowest final cost, using this formula:

$$C = (A/B) * 30 \text{ points}$$

- A is Total price of lowest cost proposal;
- B is Total price of cost proposal being scored; and
- C is the Cost score.

The Cost Evaluation is 30% (up to 30 points) of the final score.

5.4. PRELIMINARY COMPOSITE SCORE

After completion of the Written Technical Proposal and Cost evaluation, a preliminary composite score will be calculated by the CEC by adding the technical evaluation points and the cost evaluation points.

The CEC will determine which Bidders are susceptible to a contract award based on the preliminary composite scores. The highest preliminary composite scoring Bidder and those Bidders within 10 points (no decimals round down) of the highest score will be invited for a technical presentation.

5.5. PRESENTATION

Presentations will be held either via WebEx or at the Department's main office located in Albany, New York when possible. All members of the Contractor's key personnel must be at the presentation.

The presentation will last approximately one hour. Finalists are expected to make a presentation setting forth their qualifications and experience. The presentation must also address the project approach described in the mini-bid proposal. Throughout the interview, the interview committee will be free to ask questions of the finalist.

5.6. FINAL COMPOSITE SCORE

A final composite score will be calculated by NYSED by adding the presentation evaluation points to the preliminary technical evaluation points and the cost evaluation points. The proposals will then be ranked based upon each Bidder's Final Composite Score. The highest scoring proposal will be eligible for award.

5.7. REFERENCE CHECKS

The Bidder will submit references using the Contractor References form in Attachment 02. NYSED reserves the right to contact references at its own discretion. The purpose would be to authenticate bidder claims in its technical proposal.

5.8. BEST AND FINAL OFFERS

NYSED reserves the right to request best and final offers. In the event NYSED exercises this right, all Bidders who submitted a proposal that met the minimum mandatory requirements will be asked to provide a best and final offer. Bidders will be informed that, should they choose not to submit a best and final offer, the offer submitted with their proposal will be construed as their best and final offer.

5.9. AWARD RECOMMENDATION

The contract issued pursuant to this proposal will be awarded to the vendor whose aggregate technical and cost score is the highest among all the proposals rated. NYSED will make one award.