



Department of Health

Request for Proposals

RFP # - 20179

Medicaid Technical Advisory Services

Issued: January 18th, 2023

DESIGNATED CONTACT:

Pursuant to State Finance Law §§ 139-j and 139-k, the Department of Health identifies the following designated contact to whom all communications attempting to influence the Department of Health's conduct or decision regarding this procurement must be made.

Sue Mantica
Bureau of Contracts
New York State Department of Health
Corning Tower, Room 2827
Albany, New York 12237
Telephone: 518-474-7896
Email Address: Sue.Mantica@health.ny.gov

PERMISSIBLE SUBJECT MATTER CONTACT:

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

Michael Lewandowski
New York State Department of Health
Office of Health Insurance Programs
One Commerce Plaza, Room 1450
Albany, NY 12237
Telephone: 518-473-4657
Email Address: OHIPContracts@health.ny.gov

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1 CALENDAR OF EVENTS

RFP 20179 – MEDICAID TECHNICAL ADVISORY SERVICES	
<u>EVENT</u>	<u>DATE</u>
Issuance of Request for Proposals	January 18, 2023
Deadline for Submission of Written Questions	Questions Due By February 8, 2023, 4:00 p.m. ET
Responses to Written Questions Posted by Department of Health	Responses Posted on or about March 1, 2023
Deadline for Submission of Proposals	Proposals Due on Or Before March 22, 2023, 4:00 p.m. ET
<u>Anticipated</u> Bidder Interviews	Start on or about April 19, 2023
<u>Anticipated</u> Contract Start Date	September 1, 2023

2 PROCUREMENT OVERVIEW

Through this Request for Proposals (RFP), the New York State (State) Department of Health (Department or DOH) is seeking competitive proposals from Strategy and Transformation Information Technology vendors to provide Technical Advisory Services (TAS) specific to the disciplines of *Enterprise Business and Technical Architecture, Project Management, Program Contract Management, and Organizational Change Management* as further detailed in Section 4.0 -- Scope of Work. It is the Department’s intent to award one (1) ten year contract from this procurement.

2.1 Department Overview

The Department is the single State agency responsible for the administration of New York State’s Medicaid program. The Department administers the Medicaid program in conjunction with the fifty-eight Local Departments of Social Services (LDSS) and other State agencies including the Office of Temporary and Disability Assistance (OTDA), the Office of Children and Family Services (OCFS), the Office of the Medicaid Inspector General (OMIG), the Office of the Attorney General (OAG), the Office of Mental Health (OMH), the Office for People With Developmental Disabilities (OPWDD), the Office of Alcohol and Substance Abuse Services (OASAS), and the Office of the State Comptroller (OSC).

The Department’s Office of Health Insurance Programs (OHIP) runs one of the largest Medicaid Programs in the United States. New York State’s Medicaid program provides health insurance coverage to the more than 7.4 million members and totals over \$80 billion annually, as of March 2022. While New York’s existing enrollment and claims processing systems are aging, the current business operations and technology has proven successful in paying providers and Managed Care Organizations (MCOs) and delivering Medicaid services to a significant population eligible for critical healthcare services.

The Department’s administration of the Medicaid Program is subject to oversight from the Centers for Medicare and Medicaid Services (CMS). Policies and Procedures are found on their website: <https://www.cms.gov/Regulations-and-Guidance/Regulations-and-Guidance>. If required, the Department may seek CMS Certification for the updated Medicaid Enterprise Systems (MES) program. CMS requires that states use Medicaid Information Technology

Architecture (MITA) goals and objectives including the conditions specified in 42 CFR § 422.112(b), Conditions and Standards found on their website <https://www.medicaid.gov/medicaid/data-systems/medicaid-information-technology-architecture/index.html>.

2.2 Technical Advisory Services Procurement Overview

OHIP's Division of Operations and Systems (DOS) is seeking a contractor to provide Technical Advisory Services (TAS) including but not limited to: assisting with the management, coordination and alignment of multiple vendors, systems, and project portfolios; further developing and implementing the strategic roadmap for the modernization of both the business processes and the enabling technology of the Medicaid Enterprise Systems (MES); and establishing consistent frameworks and processes that further the effectiveness of the existing Medicaid portfolio and the MES program.

The contractor's Technical Advisory Services Team (TAS Team) will assist the Department with enterprise planning, implementation oversight and ongoing support activities that include, but are not limited to, enterprise architecture, procurement strategies, portfolio management, program contract management, organization planning, and change management.

2.3 Strategic Relationship

The contractor must partner with the Department to achieve a successful MES implementation. The selected contractor shall develop a strategic relationship with the Department that will provide mutual benefit in support of a wide array of business initiatives, specifically including growth and transformation.

Throughout the life of the contract, the contractor shall adhere to the following standards of behaviors:

- **Partnership with the Department:** The contractor must be ready to invest in understanding the Department's business drivers and challenges. The contractor shall understand the Department's requirements and unique needs but also be ready to professionally challenge the Department's assumptions and direction with well-reasoned alternatives when doing so is in the best interest of the project and/or the Department's mission and goals (https://www.health.ny.gov/commissioner/docs/strategic_plan_2018-2023.pdf).

As part of the partnership with the Department, the prime contractor will identify and utilize the staff, technology and solutions that best completes any Medicaid Technical Advisory Services requirement requested by the Department. The Department expects that many requirements will not be met without the utilization of subcontractors, solutions and technology that provide expertise or skills and therefore, the prime contractor will evaluate, recommend, and utilize subcontractor services whenever necessary to fulfill the Department's needs.

- **Collaboration with Other Contractors and Consultants:** As the Department moves to embrace the standards of interoperability and modularity, it will be critical that its contractors are willing to work together to solve problems and provide a variety of solution options. The contractor will seek to implement best practices and responsive solutions, even when that means conceding work to the Department's other contractors when they are best positioned to provide value to the Department.
- **Openness:** The contractor is willing to openly share information about its business practices, resource utilization, and performance to foster confidence and trust with the Department. The contractor must be upfront about risks and issues and transparent about opportunities to gain efficiency.
- **Flexibility:** Health policy and the health information technology industry are subject to the uncertainty and ambiguity that often accompanies change and innovation. Changes in priorities, schedule, and even scope is a reality that should be embraced. The contractor is prepared to respond to these factors in an agile and coordinated manner.

- **Documentation:** Clear, thorough, readable documentation is critical to success, specifically in a highly regulated environment of the Department and fundamental to solution longevity. The contractor will treat the creation and maintenance of high-quality documentation as a core competency and be prepared to extend the practice to operational policies and procedures; user guides and training; technical documentation; architecture practice; and decision guides.

2.4 MES Current State

2.4.1 Systems Overview

The existing New York State Medicaid Enterprise Systems were initially implemented starting in 1998 and have been incrementally updated with new functionalities and enhancements over many years. The current systems, all of which reside on multiple technology platforms, have several vendors supporting major components and coordination between vendors requires effort and time.

Within DOS, the MES program is primarily composed of three key systems, the Medicaid Management Information System (MMIS as known as eMedNY), the Medicaid Data Warehouse (MDW), and the New York State of Health (NYSOH) system. These systems' supporting contracts were developed many years ago and have undergone numerous amendments to keep up with technology changes and customer needs. General Dynamics Information Technology (GDIT) currently holds contracts for the eMedNY and NYSOH systems and Currier, McCabe and Associates (CMA) currently holds the contract for the MDW system. These current vendor solutions and contracts were established to focus on processing enrollment and claims transactions.

Other components of the Medicaid System are managed by other divisions and bureaus within the Department as well as external to the Department. Some of these systems include the upstate and downstate Welfare Management System (WMS), Integrated Eligibility System (IES), the Uniform Assessment System (UAS), Health Homes, the All Payer Database (APD), and Statewide Health Information Network for New York (SHIN-NY). These systems also have vendor contracts with the other sections within the Department. All components of the updated MES program must operate efficiently as an integrated solution. Figure 1 below shows at a high-level, the current system components.

Today, Medicaid consumers and providers expect more on-demand service delivery solutions and real time access to information, therefore, the Department is shifting its focus toward a member-centric approach to operations and interoperability in support of the Medicaid program.

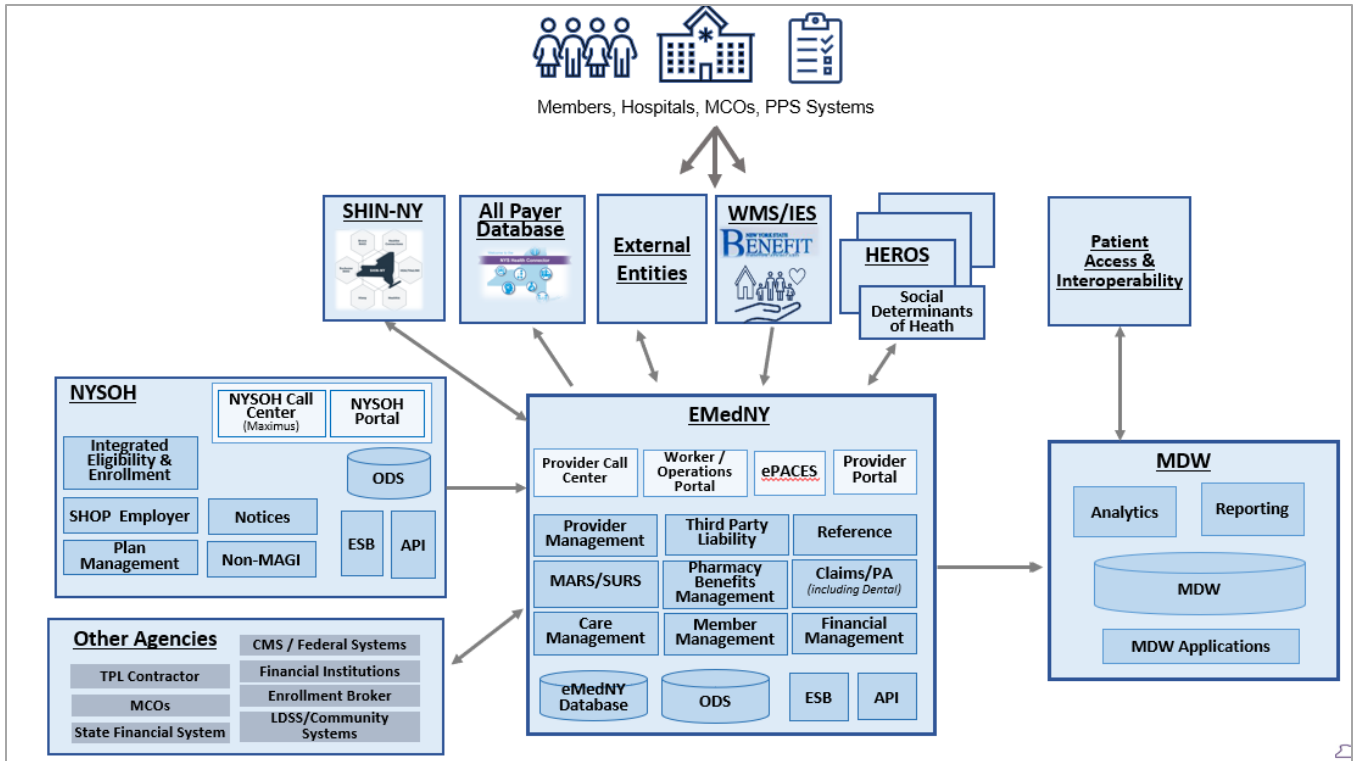


Figure 1: Current State MMIS

2.4.2 Current DOS Project Management Office

The current Project Management Office (PMO) functions encompass multiple structural levels the Enterprise PMO (EPMO), Program and Project level, existing DOS PMOs and DOS Medicaid Enterprise Architecture.

At the highest most strategic level is the EPMO which oversees three major project portfolios each managed by a PMO Director: the NYS of Health (NYSOH), Medicaid Management Information System (MMIS [eMedNY]), and Medicaid Data Warehouse (MDW).

The next level is the program and project level, where projects are assigned to project managers as shown in Figure 2 below. Each PMO works closely with their respective contracted vendors. These vendors have the primary responsibility to manage the program, project work and Software Development Lifecycle (SDLC) teams. The Division's SDLC methodologies include Waterfall, Agile, and Hybrid. The DOS staff provide oversight to the vendor teams to ensure their work is performed according to contract and to assist with stakeholder involvement and coordination activities.

The existing DOS PMOs tend to operate separately and each PMO works independently with stakeholders. There are few projects where the vendor PMOs and the DOS PMOs interact to coordinate across the portfolios. Coordination with external divisions and bureaus has minimal cross-collaboration which is due to the limited staff levels in the DOS PMOs.

DOS established the EPMO to increase the Division's ability to deliver IT solutions consistently and efficiently for OHIP divisions. The EPMO facilitates the management of DOS's IT investments by establishing standardized project portfolio management practices that facilitate the successful coordination and completion of projects within schedule and budget, as well as seamlessly integrate business and IT processes. The EPMO is responsible for establishing portfolio processes, guidelines, policies and procedures for the Division, including items such as: establishing governance roles and responsibilities; standardized process for project approval, resource allocation;

status reporting and performance measurement; developing performance criteria; and identifying and documenting DOS organizational assets (selection decisions, performance, risk and issue management, lessons learned).

The DOS Medicaid Enterprise Architecture (MEA) program has been established to provide foundational support that includes architecture advisory services, solution design, identification of shared service opportunities, standardized methodologies, and technology investments. The MEA program operates at multiple levels to facilitate strategic insight and decision from the enterprise viewpoint, as well as program-level consultations for MEA standards, technology strategy, methodology, and shared solutions.

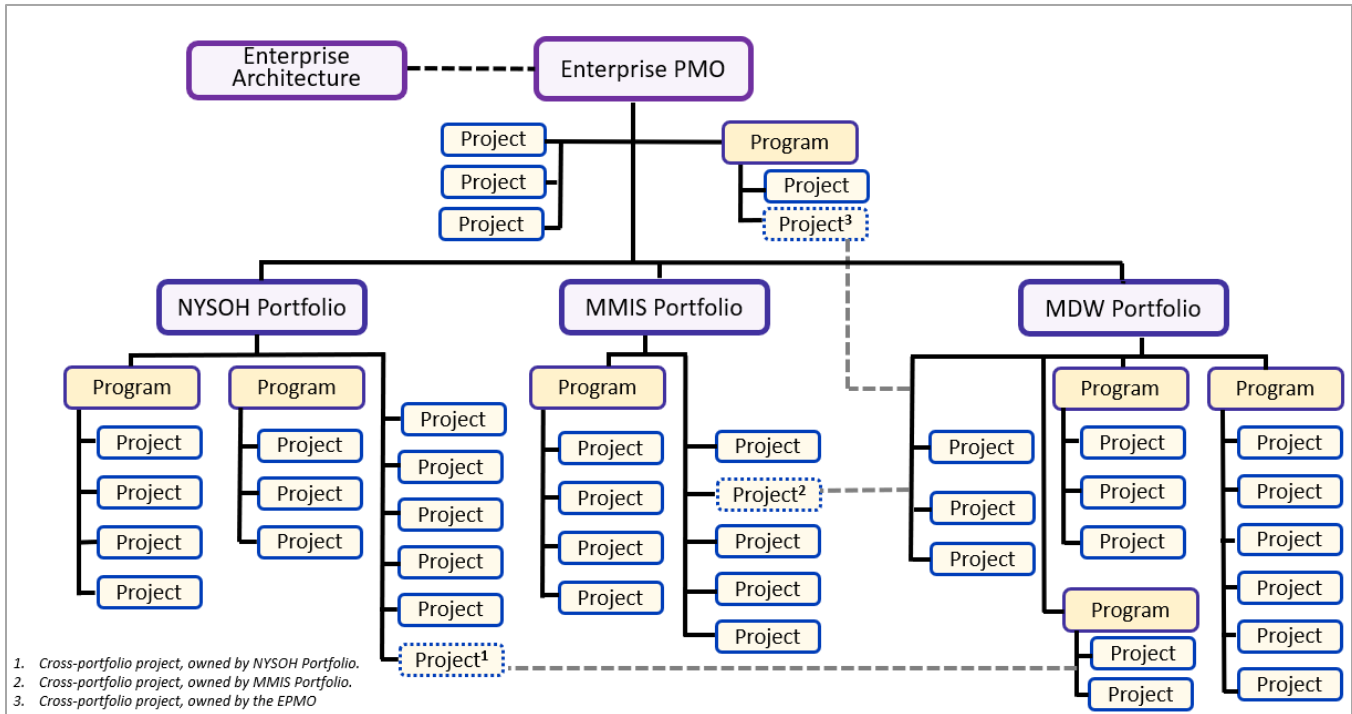


Figure 2: DOS EPMO and EA

2.5 MES Goals and Objectives

The contractor’s TAS Team will assist the Department with refinement of the roadmap by providing more detail and will assist with the implementation of the roadmap initiatives to modernize the Medicaid systems (see Section 4.1). The TAS Team will act as an extension of the DOS Management team and assist the Department with further defining and implementing a detailed MES Modernization program roadmap to meet the following objectives:

- Employ a Medicaid enterprise-wide approach**
 The future detailed roadmap shall include changes to technology and the contract structures to be directly informed by a broader MES-wide enterprise architecture established through the modernization effort. The modernization program roadmap provides the plan and a managed transition toward a future state that includes integrated technical and business capabilities that leverage a more modern platform, data sharing, and associated technologies. The future state will provide efficient use of technology and common frameworks and standards. It will allow for interoperability and integration across the Medicaid enterprise and use of modern technologies and flexibility to support multiple vendors.

- Effectively achieve strategic objectives**

The Department is focused on improving health outcomes for New York residents through strategic programs such as Medicaid Redesign Team (MRT) (https://www.health.ny.gov/health_care/medicaid/redesign/) and Value Based Payments (VBP) (https://www.health.ny.gov/health_care/medicaid/redesign/dsrip/vbp_reform.htm), and to improve client support and experiences. These, and other strategic initiatives have wide-reaching business and technical implications, and the MES-wide detailed roadmap must improve the alignment of technical aspects of these and future strategic initiatives.
- Improve data quality and data access**

The MES detailed roadmap shall create comprehensive data strategies and common enterprise-wide data assets to improve confidence in reporting through redesigning systems. The roadmap activities must allow for use of identified authoritative data and expand access to integrated / shared data to support operational reporting, performance management, and efficient data sharing strategies with and between Medicaid partners.
- Increase speed and responsiveness to policy and environmental changes**

A key objective of the roadmap shall be to provide for rapid implementation of operational policy changes with newer, more configurable technologies which will require minimal or no coding and therefore enable faster implementation of changes with minimal impact to existing operations. The roadmap shall include the use of SOA services to allow significantly faster development and testing in lieu of traditional changes to a complex set of point-to-point interfaces.
- Maximize value and capacity of resources**

The roadmap shall improve transparency and flexibility of business and technical vendor operations to effectively enhance the program's efficiency and effectiveness. It must contain initiatives that ensure system components, such as document and content management, data management, and identity and access management, operate independently and are shared capabilities as part of a common framework available across the Medicaid landscape.

Overall, the MES detailed roadmap will establish the business and technical framework that will enable a higher level of interoperability, improvements to data quality and access, focus on member and provider services, and effective delivery via an efficient utilization of resources. As more of these foundational initiatives are in place, the MES roadmap shall include business and functional improvement initiatives using the established enterprise-wide architecture.

2.6 Important Information

The bidder is required to review, and is requested to have legal counsel review, [Attachment 8](#), the Department Agreement as the bidder must be willing to enter into an Agreement substantially in accordance with the terms of [Attachment 8](#) should the bidder be selected for contract award. Please note that this RFP and the awarded bidder's proposal will become part of the contract as Appendix B and C, respectively.

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

Note, [Attachment 7](#), the bidder's Certifications/Acknowledgements, should be submitted and includes a statement that the bidder accepts, without any added conditions, qualifications or exceptions, the contract terms and conditions contained in this RFP including any exhibits and attachments. It also includes a statement that the bidder acknowledges that, should any alternative proposals or extraneous terms be submitted with the proposal, such alternate proposals or extraneous terms will not be evaluated by the Department.

Any qualifications or exceptions proposed by a bidder to this RFP should be submitted in writing using the

process set forth in [Section 5.2 \(Questions\)](#) prior to the deadline for submission of written questions indicated in [Section 1.0 \(Calendar of Events\)](#). Any such qualifications or exceptions that are not proposed prior to the deadline for submission of written questions may not be considered by DOH after contract award. Any amendments DOH makes to the RFP as a result of questions and answers will be publicized on the DOH web site.

2.7 Term of the Agreement

The term of the agreement will be for a period of six (6) years commencing on the date shown on the Calendar of Events in [Section 1.0](#). After the initial contract term expires, at the discretion of the Department, the contract may be extended, for up to one (1) additional four (4)-year renewal period by an amendment signed by both parties with all required approvals from the New York State Attorney General (AG) and the Office of the State Comptroller (OSC).

3 BIDDERS QUALIFICATIONS TO PROPOSE

3.1 Minimum Qualifications

The Department will accept proposals from organizations as the prime contractor, with the following types of experience:

1. A minimum of three (3) projects, with 15 staff or more and a combined budget of more than \$15,000,000 within the past ten years. These projects must have provided Business and Technology Advisory Services or System Integration Initiatives on an enterprise Information Technology system or Technology projects, and
2. A minimum of three (3) years' organizational experience as a practice with Project Management Office (PMO) or with Project Management practices that include: System Development Lifecycle (SDLC) Methodologies, Information Technology Governance processes and PMO process improvements; and
3. A minimum of three (3) years' organizational experience as a practice with writing and preparing Information Technology (IT) budgets, program contract management and vendor management, as well as managing contract scope, schedule, budget, and terms and conditions, for various contract types such as Request for Information (RFI), Request for Proposals (RFP), Requests for Quotes (RFQ), or Invitation for Bids (IFB); and
4. A minimum of three (3) years' organizational experience as a practice with design, development, and implementation into production and operation of a large system following Enterprise Architecture best practices; and
5. A minimum of three (3) years' organizational experience as a practice with assessing, implementing and using an industry standard Enterprise Architecture framework such as The Open Group Architecture Framework (TOGAF), developing architecture standards, and implementing architecture models, identifying IT capabilities, implementing new processes and standards for Enterprise Architecture Planning services; and
6. A minimum of three (3) years organizational experience with creating, customizing plans, and executing the Organizational Change Management Plan, within at least one (1) organization with over 300 staff.

Experience acquired concurrently is considered acceptable.

For the purposes of this RFP, a prime contractor is defined as one who enters into a contract with the Department and has full responsibility for adherence to all contractual terms and conditions. A prime contractor is accountable to perform a complete contract.

The prime contractor is solely responsible for assuring that the requirements of the RFP are met.

The Department encourages vendors to seek subcontractor relationships described in section 5.9 of this RFP.

Bidders **may not** leverage experience of its proposed subcontractors to meet the Minimum Qualifications identified above. Failure to meet these Minimum Qualifications will result in a proposal being found non-responsive and eliminated from consideration.

3.2 Preferred Qualifications

Bidders that demonstrate the following experience are preferred:

1. Five (5) or more years' experience with advising a State Medicaid Agency including analysis of Medicaid systems and/or MES landscape.
2. Five (5) years' experience writing and managing Federal or State Governmental contracts.

4 SCOPE OF WORK

This section describes the Technical Advisory Services (TAS) required to be provided by the selected bidder. Applicant bidder(s) must be able to provide all described services throughout the contract term.

PLEASE NOTE: Bidders will be requested to provide responses that address all the requirements of this RFP as part of its Technical Proposal (see Section 6.2). Failure to meet these requirements will result in a proposal being found non-responsive and eliminated from consideration.

The terms "bidder", "vendor", "contractor", "offeror," and "proposer" are used interchangeably. References to the Technical Advisory Services Team (TAS Team) or "team" are collectively referring to the contractor's staff and their contractual responsibilities. For purposes of this RFP, the use of the terms "shall", "must" and "will" are used interchangeably when describing the contractor's/bidder's duties, responsibilities, and obligations.

4.1 Scope Overview

A key Department goal is a Medicaid Enterprise "System of systems" that can facilitate internal abilities to balance and implement business priorities and adjust to external demands that continue to increase and evolve. In the past year, the Department has developed a high-level MES Roadmap and requires a detailed roadmap with a development path that is flexible to adapt and support the implementation of various program and clinical initiatives within the NYS Medicaid Program. These initiatives require the ability to execute rapid system changes founded upon cross-system access and consistent authoritative data sources in support of leadership direction and legislative mandates.

The contractor's TAS Team will assist the Department with refinement of the roadmap by providing more detail and will assist with the implementation of the roadmap initiatives to modernize the Medicaid systems.

The TAS Team shall further detail the roadmap and must consider and include current projects, development, implementation, and ongoing operational support efforts. Analysis of the current MES has indicated that not all components of the current MES system are outdated, and some will need to be reused or modified. Therefore, the TAS Team will need to identify which components are valuable, which need replacement, and which need to be updated as part of the MES program.

The detailed roadmap development is a sizable planning effort and the TAS Team will need to ensure that the roadmap is developed and managed in a way that is dynamic and responsive to the business activities as they occur within the Office of Health Insurance Programs. The roadmap will need to contain the short-term Medicaid business needs along with the longer-term strategic and functional requirements for interoperability, flexibility, the

increasing importance of data and analytics for stakeholders, as well as be able to respond to the changes in Federal and State Medicaid requirements. DOS anticipates that the detailed roadmap initiatives will be designed using a phased, yet flexible, approach for the future MES program.

The Department envisions a MES detailed roadmap to span approximately 10 years to implement. The TAS team is responsible for decomposing the actions and tasks of the entire roadmap to establish the schedule and identify any missing key milestones. Figure 3 depicts the high-level roadmap phases and activities.

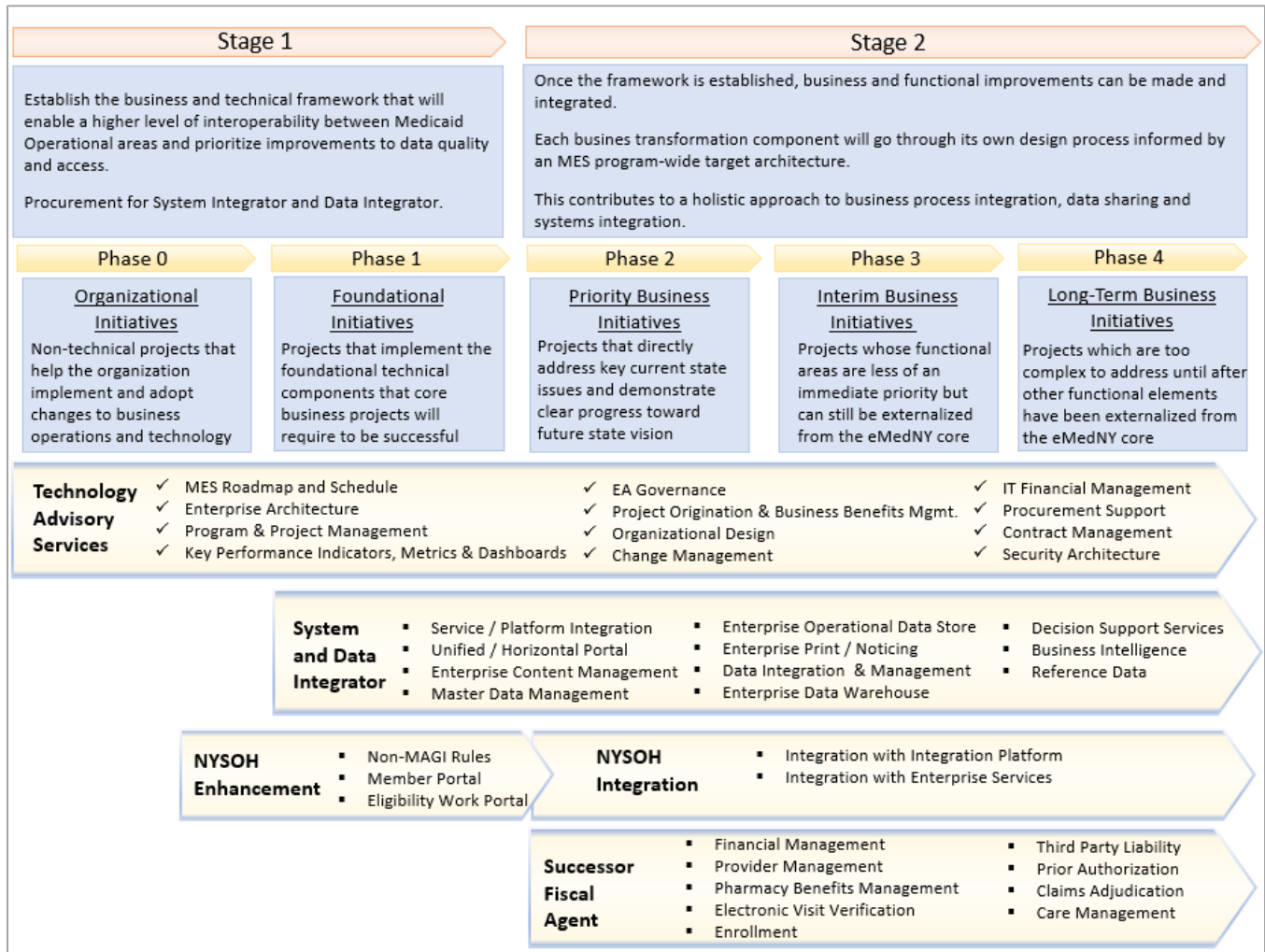


Figure 3: MES High-level Roadmap

At the direction of the Department, the TAS Team will coordinate, manage, propose, and guide the development of solutions which address Medicaid business needs and priorities. In addition, the TAS Team will assist the Department with communication and coordination of the existing vendors who currently have contracts with the Department as well as all internal and external stakeholders who participate in the MES. This will include assisting with building relationships and managing both the current, and future contractors such as the future MES system and data integrator and business module contractors. The DOS leadership team will oversee the work of the TAS Team who will be responsible for assignments that include managing various facets of the Medicaid systems program.

The TAS Team will provide additional business operations capacity to support the MES program. Key Staff will be needed throughout the contract period, while Supplemental Staff may be brought on to focus on specific or specialized tasks and activities (see Staffing Section 4.3). The TAS Team will help establish the target operating

model, enterprise architecture, management plans, and detailed roadmap which will provide the structure for all subsequent technical procurements, as well as other assigned work.

At this time there are on average 75-80 active projects in the eMedNY portfolio and the eMedNY system processes approximate 239 million claims per year. The MDW portfolio typically has 35-40 active projects, and the Medicaid Data Warehouse holds 66 billion rows of claims data, serves 12,000 users and 82 external organizations. The NYSOH portfolio has approximately 40 active projects.

DOS has many well-established business and technology practices already in place. While most of these practices are mature, measurable, and efficient, others are more ad hoc in nature and therefore lacking in documentation and/or efficiency. The Division is looking for the TAS Team to assess and make improvements to these practices in conjunction with continuing the work of the current and future projects within the DOS portfolio. These Advisory Services are key to the productivity, communications, and cohesive operation of DOS and the MES Program.

As such, the successful bidder will be required to perform advisory and management activities, process improvements, documentation, and provide on-going operational support services as described by this RFP and/or requested by the Division. Therefore, the TAS Team must have the following capabilities, experience, and ability to:

- Develop a transformation or moderation detailed roadmap.
- Assess the current business and technology systems programs and processes, and break down short-, mid- and long-term work activities.
- Plan and perform project and operational work in an integrated and coordinated manner.
- Build and maintain relationships and collaborate with Department and Department contractor staff.
- Grow, mature, and improve internal business processes.
- Develop an overall approach and roadmap, that includes high-level timeline, tasks and activities, milestones, labor categories and resources.

The advisory services to be acquired are categorized into four main functional areas:

1. Enterprise Architecture
2. Program and Project Management
3. Program Contract Management
4. People and Change

Each of these four areas are further broken down into distinct subfunctions that the Department is seeking to establish or mature through the assistance of the TAS vendor as described in section 4.2 and shown in Figure 4 below.

Technical Advisory Services			
Enterprise Architecture	Project Management	Program Contract Management	People & Change
Business Architecture	Enterprise Program & Project Mgmt.	Budget Planning and Monitoring	Org. Change Management
Organization Redesign	Project Origination	Cost Estimation	Stakeholder Management
Business & Systems Requirements	Certification Management	Procurement Support	User Training
Technical Architecture	KPI / Performance Management	IT Asset Management (ITAM) Support	Communications
Business Process Reengineering	Project Benefit Realization		
Information Architecture	Demand Management		
Architecture Governance			
Test Management			
Security Architecture			

Figure 4: TAS Functional Areas

In addition to these four functional areas, the Department has a list of Strategic Management Plans that will be delivered by the contractor upon contract start. The Department considers these plans to be foundational to managing the MES program. The list and description of these plans is provided in **Attachment O – TAS Strategic Management Plans**. Bidders will describe in their proposals, using **Attachment P**, their experience using Strategic Management Plans, their successes and value brought by using their plans to the work effort (See Section 6.2.F for additional information).

The Department anticipates contractors will have mature practices similar to those listed in this RFP, and that the successful bidder will bring as fully complete practice materials (set of Management Plans) as possible to be leveraged to expedite the development of NYS' customized MES Strategic Management Plans. Bidder's baseline plans shall include all associated documents to meet the operation of an Enterprise Medicaid System.

Each of the customized plan deliverables shall be due to the Department according to the schedule shown in Attachment O – TAS Strategic Management Plans. A high-level schedule is shown in Figure 5 below.

RFP Category	Deliverable	Total Months	M-1	M-2	M-3	M-4	M-5	M-6	M-7	M-8
Staffing	Staff Management Plan	1.5								
MES TAS Program & Contract Management	MES Program and Contract Management Plan	2								
Program and Project Management	MES Documentation Management Plan	2.5								
	MES Project Management Standards	2.5								
	MES Program, Portfolio and Project Management Plan	3								
	MES Certification Management Plan	3								
Program Contract Management	MES Budget, IT Assets, and Procurement Management	3								
People and Change	MES Organizational Change Management Plan	4								
Enterprise Architecture	MES Enterprise Technical and Interoperability Architecture Management Plan	4								
	MES Security Architecture Plan	4								
	MES Enterprise Architecture Plan	5								
	MES Enterprise Information Architecture, Data Management and Governance Plan(s)	5								
MES Roadmap	MES Strategic Plan (Detailed Roadmap)	6								

Figure 5: Strategic Management Plans - Delivery Schedule

After the Department approves the initial customized plans, the TAS Team shall update the plans quarterly.

4.2 Tasks and Activities

The following sections describe the DOS-envisioned functional areas that must be considered for the successful development and implementation of the future MES. These are representative descriptions of the activities and are not intended to dictate a specific approach or plan for the MES detailed roadmap and ongoing work within the Division. The Department expects the bidder will describe their methodology or recommended approach, the phases and sequencing of work, staffing requirements, a high-level timeline along with the high-level tasks and deliverables in response to this RFP. Throughout the engagement, these methodologies and recommendations will be refined and implemented in collaboration with Department staff and under the direction of the DOS executive management team.

For all work requested by the Department, the contractor shall assess, design, present options, participate in the implementation of the Department’s selected approach, operations, and ongoing maintenance.

4.2.1 Enterprise Architecture

The Enterprise Architecture Planning (EAP) shall provide a strategic blueprint conveying how the Department will achieve its business objectives. The blueprint shall address both business and technical processes needed to improve operations and agility, align, and support business goals and objectives.

The Enterprise Architecture blueprint is the prerequisite to implement systems which can communicate effectively, reduce the time and cost required for system changes, minimize the cost-of-service delivery and maintenance, and provide consolidated analytics for informed decision making. Central to this point are the policies, procedures, standards, and governance around the technologies which will allow them to be effective.

The TAS Team will assist the Department with development and staffing of the Medicaid Enterprise Architecture (MEA) program which will be used to manage all aspects of EA within MES. This includes the MEA organization documentation such as charters, organizing meetings, standards, models, and design patterns. The TAS Team will support the MEA with the continued planning, design, build-out, and maintenance of a central repository for all MEA documentation. The TAS Team will work with the Department to continuously improve the MEA program and will be required to provide technical experts that will be responsible for leading the design, build-out, operations, documentation, and training for the selected MEA tools. Additionally, in support of the EA organization, the TAS Team will be responsible for risk identification and mitigation, customer management, vendor management, oversight support and ongoing project advisory as integrated members of the enterprise portfolio software development lifecycle.

The TAS Team must provide vendor agnostic MES architecture planning that includes assisting the Department with the further development and decomposition of the enterprise roadmap. The team will assist with information gathering and documentation of the current state details, the rationalization of the information and catalogs, collaborative development, and communication of the future state specifications, and assisting with any needed procurements to fulfill the vision. The EA methodology and framework must support a top-down business driven architecture that provides standardized business, application, information, and technical architecture deliverables for publishing in the Department's enterprise architecture repository. Planning and design artifacts such as reference architectures, process maps, component models, data mappings, and configuration dependencies will be managed by the TAS Team and published in the EA repository using Department approved tools. The TAS Team will also be required to work collaboratively with other Department contractors to support the inventory capture, adoption, ingestion, and cataloging of standardized system requirements, design, and asset documentation into the EA repository.

The TAS team will be expected to:

- Provide knowledge and experience for the Enterprise Architecture (EA) methodology and approach, process improvements, define tasks and activities, sequence the tasks, and produce and EA deliverables, etc.
- Recommend to the Department the relevant EA deliverables, and how the deliverables contribute toward the success of the MES program.
- Develop a plan for evaluating, improving, and implementing the MES EA processes, governance, methodologies, and tools, including stakeholder involvement, communications, and interactions.

In addition to the above, the TAS Team shall perform the Enterprise Architecture subfunctions listed below to provide the enterprise architecture framework, following the current methodologies where they exist, adapt them for work under way, and further develop standards for the EA program.

A. Business Architecture

Business Architecture activities include but are not limited to developing the business architecture strategy, developing models such as process models and organization models, identifying business capabilities, and the target operating model for the future state of how the Medicaid operation will work. The document(s) shall include descriptions of what the organization does, who does it, who is accountable for it, and who the stakeholders are. The TAS Team will also assist the Department to provide overall management of the business architecture program.

B. Organization Redesign

The TAS Team will document current and target state of how DOS is structured along with DOS interactions with OHIP and other stakeholders, including but not limited to, identifying roles, responsibilities, and span of control. The team will make organizational design recommendations to the DOS to improve operational effectiveness. All recommendations must be approved by DOH prior to implementation. This may be expanded to other organizations as needed to support the Medicaid Enterprise.

C. Business and Systems Requirements

The TAS Team will develop high-level business needs and requirements for automation of business processes and activities. The team will develop requirements and system-level documentation for scoping procurements and create the functional and technical requirements.

D. Technical Architecture

The TAS Team will be performing Technical Architecture activities including, but are not limited to: developing the technical architecture strategy, developing an enterprise cloud strategy including design, cloud selection, administration, cost management and the ability to move the enterprise between hosting environments without much effort, as well as developing the information, application, and technical architecture for the current and target state of Medicaid data and its underlying systems architecture. This development includes understanding the functionality of each system and how Medicaid Confidential Data (MCD) is collected and utilized. The TAS Team will document the scope and requirements for enterprise services and integration platform(s) which will be used as the basis for technical connectivity within OHIP systems. In addition, the TAS Team will establish a target Integration Architecture which will direct the future system integration vendor(s) to design and implement a unified integration strategy.

The TAS Team will document and rationalize the as is technical systems across the wider Medicaid Enterprise to assist in managing the existing systems as they continue to evolve following the roadmap. The team will also assist in the evaluation of projects against the technology standards and capabilities of the existing systems and the Departments prospective systems to help ensure the correct solution is delivered using all capabilities that are available.

The team will create a model for the Department to assess and address Technical Debt as an enterprise to ensure the success of the enterprise roadmap.

E. Business Process Reengineering

The TAS Team will provide Business Process Reengineering (BPR) services to DOS. The Business Process Reengineering employs fundamental redesign of business processes to achieve major improvement over a relatively short period of time. Business Process Reengineering (BPR) refers to the analysis and redesign of workflows and processes both within and between department divisions and bureaus. The redesign effort typically includes rethinking of a business process in its entirety. However, in addition to identifying the business scenarios, activities, and sequencing associated with delivering business operations responsibilities, the TAS Team will need to consider the Laws, Rules, Regulations, Policies, and Practices of the Department to design future state business processes. BPR's objective is to obtain maximum gains in the performance of the process in terms of time, cost, output, quality, and responsiveness to customers.

F. Information Architecture

The TAS Team will provide the standardization of data architecture outcomes/artifacts, activities, and behaviors for the MES data architecture. The data architecture will include standards for MES data and data interactions. Definitions for the data in storage, data in use, and data in motion will be provided by the TAS team, through descriptions and their mappings for the data stores, data groups, and data items. MES current and target data systems require criteria for data processing operations, and data flow designs that establish data controls. The TAS Team will establish the target information architecture which will direct the data services vendor(s) to design and implement an integrated data strategy.

In addition, the TAS Team will use department tools or assist the Department with identifying and procuring tools, including but not limited to Metadata management tools to design, implement, and manage an enterprise-wide data practice.

G. Architectural Governance

The TAS Team will develop and coordinate the architecture and data guiding principles and standards to review designs and plans incorporated with existing SDLC standards and processes. The TAS team will also coordinate execution of Architecture and Data review processes.

Additionally, the TAS team will assist with supporting and enhancing the Data Governance practice that exists currently within OHIP.

H. Test Management

The TAS Team shall develop a Test Management function that includes detailing the roles of the current and future vendors and define a more uniform Test Management Framework and approach. This approach will incorporate industry and/or State standards for a test management framework, standards for test management, and the technologies used to perform test management. This plan will also serve as specifications for the creation of each project test management plan that is to be performed by the applicable vendor. Further, the Test Management Framework will incorporate testing processes across disparate systems and vendors. The Test Management Framework processes must include engagement of the program staff to ensure the test results meet their program needs and defined objectives. The TAS Team will be responsible for the communication and implementation of the Test Management Framework.

I. Security Architecture

The TAS Team will assist the Department by providing their security expertise to manage the Department security reviews, assessments and situation specific response activities. Additionally, the TAS Team will provide ongoing support for the development and maintenance of Department security documentation. The Department has defined a *Moderate-Plus Security Controls Baseline* based on and consistent with the security provisions described in Centers for Medicare and Medicaid Services (CMS) Acceptable Risk Safeguards (ARS) <https://www.hhs.gov/guidance/document/cms-information-security-and-privacy-acceptable-risk-safeguards-ars> and National Institute of Standards and Technology (NIST) Special Publication (SP) 800-53 at the Moderate level, as described in Attachment M – Division of Systems Security and Privacy Requirements and found on the NIST site: <https://csrc.nist.gov/publications/detail/sp/800-37/rev-2/final> for the latest revision. Additionally, the Department has augmented these federal standards with New York State Policies and Standards.

The TAS Team will provide advice and make recommendations to the Department regarding its continuing assessment of OHIP systems for compliance with all applicable New York State security policies and standards, identify gaps or inconsistencies, and report findings and priorities, along with recommendations to mitigate threats, including applications, data, and networks under the Department's domain. In addition, the TAS Team will ensure that the OHIP systems are complying with State and Federal security requirements including requirements referenced by the Catalog of Minimum Acceptable Risk Security and Privacy Controls Exchanges (MARS-E 2.0, <https://www.cms.gov/CCIIO/Resources/Regulations-and-Guidance/Downloads/2-MARS-E-v2-0-Minimum-Acceptable-Risk-Standards-for-Exchanges-11102015.pdf>), Internal Revenue Service (IRS) Publication 1075 <https://www.irs.gov/privacy-disclosure/revise-publication-1075>, and Health Insurance Portability and Accountability Act (HIPAA) Omnibus Final Rule.

The TAS Team will also focus on designing and developing security architecture patterns that meet regulatory obligations and data protection requirements as well as align with the Department's security strategy. The TAS Team will work collaboratively with the DOS Security and Privacy team to augment already-established security controls and solutions compliant with approved architecture frameworks and standards. The security architecture support will also include performing security assessments, identifying gaps in existing security architecture, and recommending changes or improvements. The TAS Team will be expected to also provide input on security requirements to be included in request for proposals (RFPs), statements of work (SOW), and other procurement documents.

4.2.2 Project Management

The TAS Team will support DOS with oversight and assistance of current and future projects within the Divisions' portfolio(s), including the development, and maturing of existing program and project management structures, portfolio tracking, project management practices, and use of tools, templates, and processes, as well as support the transition of the project outputs to the operations and maintenance phase.

The TAS Team will provide advice and make recommendations for best practices and standards with a focus on improving EPMO practices for the entire MES portfolio of projects. This will require the TAS Team to assist the Department with the management of the MES current and future vendors holistically with common standards and procedures to bring more uniformity to the methodologies, deliverables, and stakeholder involvement.

Currently, the EPMO uses project management templates proscribed for each of the portfolios. These templates are similar, yet not exact match and have been in practice for several years with the existing vendors. The TAS Team will assess existing practices and contracts and make recommendations of future tools and templates for the MES Program.

The TAS team will be expected demonstrate their experience and expertise in, but not limited to:

- Developing, maturing, and improving project management practices including mentoring Department project managers, portfolio management, project tracking, processes, tools and templates, and transition to operations.
- Managing vendors and stakeholders, using common templates and procedures, and methodologies.
- Identifying deliverables and milestones.
- Recommending project management software tools, as needed.
- Developing, managing, and improving Department practices in governance and Demand management, Business Case development, SDLC methodologies, scope and schedule management, project performance and benefits realization.

In addition to the above, The TAS Team shall perform the following Project Management subfunctions:

A. Enterprise Program and Project Management

The Enterprise PMO is responsible for planning, execution, monitoring, and controlling the current Medicaid Program and its portfolio(s), which involves a matrix of active and interdependent projects, other major projects such as the Medicaid Reform projects, and operational processes. The TAS Team will work closely with the DOS Enterprise PMO, the portfolio managers, other program and project managers working on major projects, as well as the OHIP leadership to structure the portfolio to align with the MES roadmap. The TAS Team will assist the Department with gathering requirements and ensuring requirements are included in future procurements and assist with planning for necessary amendments to existing contracts and any necessary funding updates with CMS.

Work performed by the TAS Team will be initiated using the Department's current processes. The Department defines work using the following definitions:

Routine Work (status reports, general planning, administrative, repeatable work, etc.) that is under a specific threshold of hours and does not qualify as a project will be performed by Key staff and Supplemental staff. This type of work will require brief progress reports on all charged time.

Small Work Items under ~500 hours (approximated under five hundred) may not require the application of a detailed PM methodology. This type of work will require a DED for defining tasks and deliverables with approval by the Department. These work items require minimal management and will require progress reports which includes scope, high-level schedule with milestones, resources, budget, and risks and issues. Any scope changes will use a formal change control process and require Department approval.

Project Work consisting of related work items with associated deliverables that exceed ~500 hours must follow a formal standard project management lifecycle based on a detailed PM methodology that aligns with the Project Management Body of Knowledge (PMBOK, PMI.org) standard processes, including a detailed WBS and Schedule.

As defined above Small Work Items and Project Work must be managed following the principles described in the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK). Small Work may have less formal or detailed use of project management tools and templates, yet still have a planned approach. The Project Work will require use of both industry project management standards and existing methodologies used by the current vendors, and at a minimum will require:

- A Scope Management Plan and Change Control Management Plan that describes how scope and requirements will be captured, documented, approved, monitored, and validated. The Change Control Plan shall describe how scope changes will impact the initiative, other impacted portfolio work and operational work, as well as the impact to schedules and budgets. The plan will include the steps involved for approval of proposed scope changes.
- Staff Resource reports as applied to work initiatives.
- Budget, including actual and variances tracking.
- Roles and Responsibilities, including the project team members and stakeholders.
- The project schedules using MS Project. The schedule will include all MES initiatives, activities, tasks, milestones task dependencies, calculated critical path, named resources (all resources, including State, stakeholders, and other external entities), resource allocations with over-allocations managed, and deliverables for the scope defined in all functional and sub functional areas described above, as well as existing portfolio and operational MES work occurring within the division. The schedule will be baselined with the approval by the Department, and the TAS Project Manager will report on variances, new forecast finish dates, critical path tasks and resources, and resource needs if they occur. All schedule baselines require Department approval.
- A Communication Plan and communications matrix including all involved stakeholders. This plan will include communication activities and milestones for all functional areas and their interdependencies. There may be a need for multiple, focused communication plans as part of the People and Change function, as specific MES initiatives are planned, designed, and implemented.
- Issue and Risk Management Plan and tracking log.
- Project Management Plan that demonstrates the monitoring and controlling activities necessary to perform project work, including Small Items. The TAS Team shall specifically describe how all the project management plans will be maintained as initiatives are added to the MES portfolio.
- A Quality Management Plan and approach that describes project teams will manage the quality and acceptance of deliverables, adherence to the contract scope, and other assigned initiatives.
- Status reports and dashboard reports. Reports will include accomplishments, critical and high issues and risks and mitigations, resource allocations and needs, communication plan statuses, quality assurance activities budget, schedule and scope variances.

The Department anticipates that new procurement work such as new RFPs, and amendments to existing contracts or budgets shall be defined as Project Work. Other less-complex procurement work may be either Routine Work or Small Work items.

Both the Department and contractor may use a Deliverable Expectations Document (DED) to ensure that the deliverable is fully described and contains clearly stated acceptance criteria and the review and approval steps. This ensures that there is a common understanding between the Department and the successful bidder. Each DED will be developed collaboratively with the contractor and the Department. See Attachment C for an example DED template.

B. Project Origination

The TAS Team shall assess the current process, make improvement recommendations, and coordinate the Project Origination approach to oversee project request review, business case development, project selection/decision making, and project prioritization. The TAS Team shall assist with engaging customers and stakeholders in business case review and managing expectations. The TAS team shall ensure the process includes SDLC decision point reviews (Stage Gates). The TAS Team shall coordinate execution of Project Origination process(es).

C. Certification Management

The TAS Team shall assist with monitoring and interpreting CMS Guidance and will work with the Department to create review processes in accordance with the established SDLC that encompasses the necessary requirements to support various federal certifications. The TAS Team must become knowledgeable of the State Medicaid Director guidance # 22-001, <https://www.medicaid.gov/federal-policy-guidance/downloads/smd22001.pdf> and work with the Department's future vendors to oversee their role in ensuring the Department can achieve certification. <https://cms.gov.github.io/CMCS-DSG-DSS-Certification/>.

D. Key Performance Indicators (KPI), Metrics and Performance Management

The TAS Team will assist with the development of KPIs and metrics to measure performance of both MES program and portfolio outcomes as well as operational delivery outcomes. Development of KPIs and metrics must consider CMS' expectations for measuring health outcomes, available data, data collection, and reporting mechanisms.

E. Project Benefit Realization

The TAS Team will provide services and support that will ensure all programs, portfolios, and projects have defined objectives and anticipated benefits to measure outcomes of the product or service produced by the project. The TAS Team will ensure that project objectives align with the Department's strategic goals and objectives and the defined KPIs and metrics. DOS expects that the TAS Team will apply industry best practices for defining the processes and management of the Benefits Realization Management (BRM) initiative.

F. Demand Management

The TAS Team shall assess and mature the approach to managing requests for changes to existing systems and support new business requirements. The TAS Team shall ensure that the Demand Management approach includes assessing IT system dependencies, human resource availability, business need justification, technical capabilities, dependencies and priorities, and that requests are adequately justified, endorsed, documented, reviewed, and approved.

4.2.3 Program Contract Management

Program Contract Management is the process of overseeing the contract and expenditures with the goal of providing both business units and IT departments with a common framework to evaluate services and plan for future investments to optimize spending. The TAS Team shall support DOS with all program, project, and operational budgeting, tracking, and managing the contracts and financial aspects associated of the MES program.

The TAS team will be expected provide knowledge and experience to support the Department with, but not limited to:

- Developing, maturing, and improving the budget management processes, including Portfolio management and Operational expenditures.
- Establishing cost estimation processes for proposed project budgets or systems, including federal and

state funding portions.

In addition to the above, the TAS Team shall perform the Program Contract Management subfunctions listed below.

A. Budget Planning and Monitoring

The TAS Team shall provide services and support with tools designed to document project, operations, and systems budgeted costs, actual spend, and forecast remaining budget for future initiatives. The team shall proactively identify deviations from planned budgets. The TAS Team shall perform budget monitoring of Federal funding, State funding for planning, approved in-flight project work and operations and budget and expenditures for existing contracts.

B. Cost Estimation

The TAS Team will estimate the costs and benefits to support Federal and State funding requests, and to validate the proposed technical implementation bids (project's proposed cost) by vendors with whom DOS currently holds existing contracts.

C. Procurement Support

The TAS Team shall develop content required to establish procurement documents, writing requirements, and support the analysis of bidder's submissions against contractual requirements. The TAS Team shall assist the Department with other procurement-support activities such as vendor presentation logistics, market research, monitor other states MES procurements, and assist with procurement related Question and Answers.

The TAS Team shall support the creation of federal planning documents. This assistance shall include, but not be limited to producing materials to aid in the development of the Advanced Planning Documents (APDs) for the target enterprise that is acceptable to CMS.

If the TAS Team (Prime Contractor or any Subcontractors) participates in the development or writing specifications for an RFP, these vendors will be prohibited from participating in that procurement. (See State Finance Law §163(2); and for technology procurements, see State Finance Law §163-a.)

D. Information Technology Asset Management (ITAM) Support

The TAS Team shall support the Department with monitoring the Information Technology assets purchased and implemented as part of the Medicaid program. The TAS Team will assist with tracking and monitoring the hardware and software purchases, how hardware and software were purchased, the funding source(s), along with what contracts are in place, contract start and finish dates, and include the tracking of software licenses, and ensure compliance. The TAS Team will make recommendations to the Department to improve spending and support the lifecycle management and strategic decision making within the Medicaid IT environment.

4.2.4 People and Change

Through the activities defined in this RFP, new standards, processes and procedures, and guidelines are designed and established. The TAS Team will apply organizational change mechanisms to aide staff with adoption and behavioral changes to institutionalize the new practices. Some of these changes may be straight forward, while others may involve an OHIP-wide audience, including the highest staff levels. The TAS Team will focus on the organizational change activities impacting OHIP stakeholders while implementing the MES detailed roadmap. The TAS Team may advise existing DOS Project Managers with implementation of organizational change activities for their individual projects (current MMIS portfolios); however, it is not expected this will be a primary responsibility.

The TAS team will provide, but not limited to:

- Organizational Change Management (People & Change) knowledge, and experience including scope definition, staff impacted, OCM techniques approach and how the transition to the new MES program will

be supported, for a successfully implemented change management program for the MES program.

In addition, the TAS Team shall perform the People and Change subfunctions listed below.

A. Organizational Change Management

The TAS Team will provide the strategy, organizational change management plan and implementation of the plan, for transforming the organization over time, focusing on organization design opportunities, communications, training, workforce, and stakeholder management for the functional area activities listed in this RFP. The Department anticipates that various change management initiatives will require their own unique communication plans and training plans.

B. Stakeholder Management

The TAS Team will assist the Department with managing stakeholders based on stakeholder specific orientation and interests to the change effort and drive the behaviors required for a successful MES program. The TAS Team shall identify barriers to acceptance of change and manage resistance to change with planned responses.

C. User and Stakeholder Training

The TAS Team will provide the learning mechanisms for driving acceptance and mastery of the changes occurring within DOS and the MES Program, including training for DOS staff and its vendors and consultants, DOS' customers, and stakeholders. Comprehensive training shall include the processes, people and technology aspects of the change. Training shall also occur during early periods when design of the change is complete as well as during implementation of the new change.

The TAS team will also provide expertise, user manual development, and training to the Department and its contractors for tools and methodologies that are established within DOS and the MES Program. All training materials, management artifacts such as attendee lists, FAQs, training content with version controls, etc. will be owned, saved and stored in the Department's document repository.

D. Communications Planning and Management

The TAS Team will create a consistent and effective way of managing and distributing communications to impacted stakeholders, including Federal and State oversight entities, for all functional and subfunctions as well as other Department assignments. All communication plan artifacts require Department approval prior to delivery to stakeholders.

4.3 Staffing

4.3.1 Staffing Introduction

The focus of the TAS Team will be on MES planning, developing the detailed roadmap, establishing standard practices, and providing oversight, with minimal hands-on application system development. The contractor shall employ an approach for staff management that facilitates a productive working relationship with the Department staff as well as with the Division's vendor staff as described in Section 2.3, Strategic Relationship.

The contractor shall provide twelve (12) hourly-based Key Staff, who must be employed by the prime contractor. The contractor will provide or may subcontract Supplemental Staff.

4.3.2 Key and Supplemental Staff

Key Staff are full time staff, who must be the core team who will participate on the project from the start date and continually throughout the contract term. Supplemental Staff may be added to the TAS Team after the contract start date, depending on need and Department approval. It is important to the Department that the contractor minimizes staff turnover to the extent possible.

Attachment D.1, and D.2 describe the roles (i.e., Labor Categories), qualifications and level of experience for Key and Supplemental Staff.

These Key and Supplemental Staff must have experience and proven success with implementing complex and challenging systems that have a great deal of uncertainty. Medicaid systems are large and complex, where new implementations and ongoing operations are faced with issues, replanning, and at times, rework. With this uncertainty, staff not only need to possess knowledge and skills, but they also need to tap into their experience and personal attributes that bring the project or issue to a successful conclusion.

Therefore, the Department expects the contractor to bring excellent staff who have personal interest in learning, have a desire to deeply understand the work, are looking for challenges to solve, and new ideas to explore. The contractor shall propose staff who possess personal traits and experience with problem solving, critical thinking, have proven leadership and strategic thinking skills, and can see the big picture as well as pay attention to details. The staff shall be analytical, adaptable, results oriented, risk aware, have situational awareness and understand human behavior and motivation. These talented staff must be able to competently perform tasks with professionalism and composure, and solve problems in environments where there are complex, multifaceted systems and diverse stakeholders.

The Department highly encourages that TAS Staff be compensated at current market rate(s) and be offered a benefits package including but not limited to health care, paid time off for vacation and sick time.

The contractor shall be responsible for ensuring all staff clearly understand their roles and responsibilities, understand relevant Department policies, and complete mandatory NYS training. The TAS Team, and any replacement team members must understand their assignments and how they relate to the overall Technology Advisory Service needs of the Department as described in this RFP.

All proposed contractor staff must possess the following:

- Both oral and written communication skills
- Ability to perform assigned role and corresponding tasks and responsibilities with minimal management
- Strong analytical, organizational, and problem-solving abilities
- Willingness and ability to actively participate in designated project meetings and represent the best interests of the Department, identify, and escalate issues as appropriate, and contribute to required weekly, biweekly, monthly, or quarterly status reports

4.3.2.1 Key Staff

Key Staff are deemed by the Department to be both instrumental and essential to the Department’s ability to procure, design, develop, implement, and operate the existing and future Medicaid enterprise systems. These resources are responsible for providing leadership, ensuring a comprehensive solution, creating, and enforcing standards, participating in and improving governance processes, and creating processes required for the successful implementation, operation and maintenance, and long-term growth of the total Medicaid Enterprise solution. Key Staff roles are strategic in nature and provide the methodological and architecture foundation for the MES program.

The contractor shall have only one individual fill each Key Staff role. The Key Staff positions include:

#	Key Staff Position Title
1	TAS Manager/Account Manager
2	Program and Project Manager
3	Enterprise Architecture Manager

#	Key Staff Position Title
4	Project Manager Lead
5	Business Analyst Lead
6	System and Data Architecture Lead
7	Security Lead
8	Business Architect Lead
9	Information Architecture Lead
10	Technical Architect Lead
11	Contract and Financial Management Lead
12	Data Scientist

4.3.2.2 Supplemental Staff

In addition to the Key Staff, the contractor must provide Supplemental Staff on an as needed basis with approval by the Department. Either the Department or the contractor may request to add Supplemental Staff to the TAS Team based on the needs of the MES program. Attachment D.2 – TAS Staffing Table Supplemental Staff Responsibility and Experience Descriptions includes a list of Labor Categories and Experience / Qualifications for the Supplemental Staff. The Supplemental Staff positions include:

Supplemental Staff Labor Categories	
All Key Staff Titles & Descriptions may be re-used as Supplemental Staff (titles and criteria)	
Senior Project Manager	Training Manager
Project Analyst/Project Administrator	Senior Trainer
Senior Business Analyst	Technical Writer
Senior Policy Analyst	Contract Management Specialist
Industry/Functional Area Specialist I – V	OCM Manager
Principal Systems Architect	Senior Organizational Change Analyst
Senior Systems Analyst	Organizational Change Analyst
Senior Database Specialist	Data Analyst
Web Architect	Sr. IT Financial Mgmt. Specialist / Accountant
Application Designer	Quality Assurance Manager
Technical Subject Matter Specialist I – V	Instructional Designer Lead
Senior Developer	Information Security Compliance Analyst
Senior Technical Test Analyst	IT Security Analyst
Senior Test Analyst	Healthcare Security and Privacy Outside Council
	Healthcare Contracts Outside Council

Both the Department and the contractor may request supplemental staff join the TAS Team. To add a supplemental staff member, the Department or contractor will use the Attachment E – TAS Supplemental Staff SOW Template to create a new document to describe the project work tasks, anticipated start and end dates, and number and titles of the staff to be added to the TAS Team, and the total estimated effort. The Department will review the SOW. With Department approval, the contractor will submit the Attachment K – TAS Supplemental Staff Submission Forms with the proposed team member(s) who meet the qualifications described in Attachment D.2 – TAS Staffing Table Supplemental Staff Responsibilities and Experience Descriptions for the work and titles described in the Attachment E – TAS Supplemental Staff SOW. Note: The Department may need to reuse the

Key Staff titles and labor categories to bring onboard TAS Team members for those titles however these staff are considered as Supplemental staff.

After Department approval of the proposed supplemental staff member(s), the supplemental staff team member(s) may begin work on the project. The contractor shall receive payment based on the actual hours worked at the hourly bill rate as presented Attachment B - Cost Proposal, Pricing Schedule D of the contract.

Supplemental staff labor categories and experience have been defined based on the anticipated needs of the Department and the work described above. To address unanticipated resource needs, two generalist titles with multi-level experience criteria are included in the Supplemental Staff list. These are Industry/Functional Area Specialist I – V and Technical Subject Matter Specialist I – V. The Department reserves the right to waive requirements to hire the best candidate possible for a position.

At contract start, the Key staff will be onboarded and become familiar with current initiatives, ongoing operations, and DOS business functions. These staff will use their Strategic Management Plans and artifacts as their baseline and then customize these documents to meet NYS MES needs accordingly. These customized plans shall be delivered to the Department on the proscribed due dates as described in both Attachment O – Strategic Management Plans and in Attachment N - TAS Service Level Agreement (SLAs) and shall become the property of the Department. All documentation delivered to or developed for the Department are the property of NYS and may be used to meet Department needs.

In addition, upon contract start, the Department and contractor will determine if supplemental staff are needed for customization of the Strategic Management Plans listed in Attachment O.

4.3.3 Staff Management

4.3.3.1 TAS Staffing Plan

The staffing encompasses a large variety of roles and for many roles an individual may have responsibilities that require cross functional collaboration and overlap with other roles. In the proposal (see section 6.2, E6), the contractor shall provide a description of how they will ensure that the TAS Team is adequately staffed with experienced, knowledgeable personnel who can meet the responsibilities outlined in this RFP and the criteria defined in the staffing tables, Attachments D.1, and D.2. The description shall also describe the contractor's talent management approach and how the team will be supported throughout the contract term.

In Attachment O – Strategic Management Plans, the Department has provided a brief description of its expectations for the Staff Management Plan (SMP) content. As previously stated, the contractor shall update each Strategic Management Plan on a quarterly basis. However, in addition, the contractor shall also update the staff management plan within 10 business days when Supplemental staff are added or have left the project, or within 10 business days at the request of the Department.

4.3.3.2 Staff Vacancies, Performance, and Replacements

The Department will rely heavily on the presence and advice of the TAS Team and wants to mitigate any potential risks associated with absences of Key and Supplemental Staff. The contractor shall designate back-up staff to provide coverage when staff are unavailable for more than two business days for instances such as another team members vacation or brief illness.

If the Department determines that a staff member is perceived to be unqualified, nonproductive, not adhering to behavior standards as described in Section 2.3, unable to fully perform the job duties, is disruptive, or has work performance that the Department finds unacceptable, the Department, at its sole discretion, may direct the contractor to either immediately remove the staff member, remove the staff member with advance notice, or remediate the staff member performance issues.

If the Department determines to remediate, the Department will request that a Remediation Plan be developed to improve the performance of the team member. The contractor shall produce the Remediation Plan within five (5)

business days of notification and shall immediately implement the Remediation Plan upon acceptance of the plan by the Department. Should performance issues persist despite the approved Remediation Plan, the Department may ask for a revised Remediation Plan or replacement of the staff member.

The contractor shall provide for the continuity of the responsibilities for any Key and Supplemental Staff position that must be replaced with a qualified replacement to be made available within forty-five (45) business days, subject to the review and approval of the Department. The Department reserves the right to request a replacement for any of the Key or Supplemental staff. The Department may assess the contractor, at its sole discretion, a penalty for each Key or Supplemental Staff position that remains as vacant beyond the 45 business days to fill a position, regardless of the reason for the vacancy, unless otherwise agreed to by the Department. (See Attachment N – Service Level Agreement (SLAs)).

The contractor shall not transfer, reassign, or replace a Key staff person who is proposed or defined in the TAS SMP without the written approval of the Department, unless the change is due to the resignation, death, termination, military recall, or extended illness for any named individuals. Department approval shall not be unreasonably withheld. If the Department gives written approval of the transfer, reassignment, or replacement of Key and Supplemental staff, to the extent possible such personnel shall remain assigned to perform their duties under this contract until replacement personnel approved by the Department are in place and performing the Key and Supplemental Staff functions.

The contractor will not be paid for unfilled Key or Supplemental Staff positions. The Department reserves the right to request a replacement for any staff throughout the life of the contract. In the event the Department does not approve the replacement staff member, the contractor shall re-submit a replacement for Department approval within 45 business days.

4.3.3.3 Office Facilities and Additional Operations

The contractor shall procure office space for the TAS Team and Department staff. Department staff includes State employees and any other consulting staff hired by the Department. Office space must include a location which will promote working relationships between all staff and increase efficiencies of the program and minimize overall administrative and program costs. NYSDOH reserves the right to inspect all facilities at any time.

The office space requirements are described in Attachment L – TAS Facility Requirements. The contractor shall prepare a Facilities Management Plan and Physical Security Plan within the first 30 days of occupying the facility. Details for these plans are described in Attachment L. Key and Supplemental staffs shall work at the approved site. Depending on the staff role and assignments, the Department may allow telecommuting. The Department's telecommuting policy currently allows for 50% remote work. The remote work requirement is at the discretion of the Department.

In addition, the contractor shall include strategies to rapidly procure additional space for Department use if the Department adds staff to the MES project (i.e., additional vendors). The Department will provide advance notice to the extent possible to the TAS Manager/Account Manager and include number of staff and requirements for the additional space to be acquired. If the Department anticipates that a future vendor's staff size or equipment needs are beyond the approved TAS location or ability to procure additional space, the Department will add Facility Requirements to its new procurement(s) and the TAS Team will eventually relocate to the newly acquired space by the future vendor and end the leasing agreement for TAS Team facility.

The contractor shall provide IT equipment and other operational items described in Section 4.6 of this RFP and Attachment L.

4.4 MES Program and TAS Contract Management

The TAS Manager/Account Manager shall ensure each functional and sub functional category is adequately staffed based on the RFP requirements and approved SOWs. The Program and Project Manager (PPM) (Key Staff role)

will serve as the TAS Program and Project Manager for this contractual engagement (i.e., this RFP/Contract) and may be supported by the other Key Staff manager or lead roles.

The contractor's TAS PPM will create, implement, and maintain throughout the term of the contract a Program and Contract Management Plan that demonstrates the planning, execution, and monitoring and controlling activities necessary to perform the work described in this RFP. The TAS PPM shall describe in this plan how all the Strategy Management Plans will be used and maintained as initiatives are added to the MES portfolio. The plan, at a minimum shall include the following:

- How items will be added, prioritized and dependencies identified to create a high-level Project Schedule using MS Project. The schedule will include all MES initiatives (Small work items and Project work), milestones and deliverables, dependencies, start dates, forecasted finish dates and critical path items, as well as including any dependencies between MES initiatives and the existing portfolio(s) active projects.
- How resource allocations are measured and maintained, if and where there is resource contention and the impacted work, and how resource over-allocations will be managed. Staff resources includes State staff, Department's stakeholders, and other external entities.
- A high-level communication plan and communications matrix. This plan will include communication activities and milestones for all functional areas and their interdependencies. There may be a need for multiple, focused communication plans as part of the People and Change function, as specific MES initiatives are planned, designed, and implemented. The high-level communication plan shall include how multiple communication plans will be coordinated.
- How critical issues and risks will be escalated and mitigated with Department input. The plan shall include an Issue and Risk Management Plan and tracking log at the MES program level.
- Status of Management Plan customizations, quarterly updates, and any issue with adherence to all other management plans.
- How Budget, Actual and Variances will be reported, including trends, charts, and forecasts, and including any issues, and status of various procurements. The budget information shall provide both detailed and high-level summary information and may include, but not limited to, these items:
 - Hours and cost per project, and SDLC phase
 - Hours and cost per month, quarter, year
 - Total active projects
 - Total Completed projects
 - Operational budget, actuals, variances
 - Complexity and Risk factors
 - Start and Finish Dates and percent complete
 - Paid to date, pending payment
 - High, Low and Average hourly rates per project
 - Hours and cost by program
 - Project Priority
 - Project-level dependencies
- How tracking of scope changes and all change requests and their status (approved, rejected), including how the change will be monitored and validated as well as its impact on other portfolio and operational work, and budget and schedules.
- A Quality Management Plan and approach that describes how the TAS Team will manage the quality and acceptance of deliverables, adherence to the contract scope, and other assigned initiatives, and how the TAS Team will maintain independence and objectivity when reviewing and submitting deliverables to the Department. The Quality Plan shall include the QA procedures and how the TAS Team will manage any rework that may result from Department feedback.
- Upon Department approval and implementation of the Benefits Realization Management (BRM) approach described in section 4.2.2.E, the TAS Program and Project Manager will monitor, control, manage and report the status of the BRM program measures and outcomes.
- The SLA Management approach, any SLA changes, and timely reports on SLAs.
- Management of invoices, credits for unmet SLAs and timeliness of submitting invoices and payment supplemental and subcontractor staff.
- Status of Transition Plan, when the next plan update is due and at the appropriate time, status of the transition status and transition SLAs.

The Program and Contract Management Plan and its subordinate plans listed above require approval from the Department. As the engagement continues more information will become known requiring the plans to be updated. After the Department's initial approval, all plans shall be at a minimum, updated quarterly and then re-submitted for Department approval.

The TAS Manager/Account Manager shall be responsible for the recruitment and replacement of Key and Supplemental staff and ensure all TAS Team staff are knowledgeable about their role and RFP requirements. All plans shall maintain a version history including who made the change, the date of the change, summary of the change and versioning of the document.

Over time, there will be additional procurements and contracts with a System and Data Integrator, other business module vendors and QA resources in addition to the existing Department's contractors. The TAS Team will work with the Department and all vendor staff to update the Strategic Management Plans to ensure they are fully integrated with all MES work, including an Integrated Project Schedule using MS Project with high-level deliverables and milestones, an Integrated Project Management Plan, a comprehensive Communication Plan and Matrix, Quality Management Plan, and Risk and Issues tracking documents. These Plans and documents shall ensure key dependencies are captured and managed.

4.5 Reporting

The TAS Project Manager and/or TAS Manager/Account Manager will prepare regular status reports. Status reports will be written, PowerPoint format and may also require presenting to Department Stakeholders. For all types of reports, the Department reserves the right to modify the content of report items.

4.5.1 Status Reports

MES Program and Project status reports are required biweekly, or on an interval determined by the Department and will be prepared and submitted by either the TAS Project Manager or the TAS Manager/Account Manager. The status reports shall include, at a minimum, the following information:

- The reporting period, date range.
- MES project status of tasks and percent complete and calculated forecast finish dates, dependencies and impact, initiatives added or completed in the portfolio.
- Accomplishments during the reporting period.
- Issues identified with proposed solutions. Note, any issue with immediate or detrimental impact to the success of the MES Program, must be reported to DOS leadership within one business day.
- Risks and Issues, and mitigation plans.
- Planned goals, accomplishments, and activities for the next two weeks.
- Schedule slippage, variances, and recommendations for resolution.
- Current staff lists/status, location, % allocated time to project for supplemental or third-party staff, and status of recruitment of key and supplemental staff, if vacant, remaining SOW hours for supplemental staff and budget impact.
- Status of deliverables.
- CMS Certification status of activities and required documents.
- After development, approval, and implementation, report the KPIs, appropriate metrics and any performance management information including changes to improve the quality and meaningfulness of the data.

Project Status reports shall be shared project stakeholders after TAS Program and Project Manager review. Program status reports shall follow the above list, at a high-level for DOS Leadership information and response. The TAS Program and Project Manager shall use these detailed project status reports and synthesize the critical information for reporting at the MES program level for DOS. Program status report must be comprehensive and

cover all activities occurring within scope described in this RFP and follow the MES Program and Contract Management plan.

4.5.2 Quarterly Reports

The Quarterly status reports shall be a consolidated report, higher-level report of the above listed items. The audience for this report shall be DOS Leadership, other Department Division Leadership and CMS. As determined appropriate, this report will be used by DOS for reporting progress to CMS or other Federal and State officials. As part of this report, all budget related data, including spend to date and forecast budget for next quarter, is to be reported using a format proposed by the vendor and approved by the Department. Any contract changes, APD changes, staffing changes and costs are to be included in this report. Additionally, a summarization of changes made to each Strategic Management Plans shall be provided. The TAS Manager/Account Manager will be responsible for the content and quality of quarterly reports.

4.5.3 Team Roster List

The TAS Manager/Account Manager shall maintain an updated team roster, with Key and Supplemental staff names and start and end dates, role on the project, prime or subcontractor, and the reporting relationship. This roster shall be kept current. A team reporting structure diagram shall also be maintained. These reports will be made available to the Department upon request.

4.5.4 Time Tracking Reports

The contractor must describe in their bid how they will manage resource time tracking. The time tracking must include a consolidated report with appropriate details (names, title, hours, project/programs, pay and bill rates, and mark up percentage, etc.) on a weekly basis, to allow appropriate Department resources to review, reconcile and approve billable time. The contractors time tracking report is subject to the approval of the Department.

4.5.5 Documentation

All documentation, deliverables, and work products (data, files, reports, plans, and diagrams, historical versions of data and documents, and records generated, etc.) must be saved in an identified Department Repository. The TAS Team shall always keep the repository current and on an annual basis or at the request of the Department, the contractor will audit the repository to ensure all appropriate documents are up-to-date and have been stored.

All draft and final document deliverables, acceptance criteria, and any associated documents shall be stored in the Department's document repository. Items in the repository must clearly indicate its state by including "draft" or "final" and the version history of changes as well as the date and named person(s) who provided feedback and approval.

TAS Team members who plan and conduct team meetings with department staff shall have an agenda prepared with meeting logistics, invited attendees, purpose of the meeting, meeting, topics, and past action items, if any. The TAS Team member shall ensure that meeting agendas are sent out 24 hours prior to the meeting and attach the agenda and any needed supporting documents to the meeting invitation. After each meeting, within two days (48 hours) of the meeting date, the TAS Team shall send draft meeting notes with brief highlights of discussion, decisions, and action items, to Department staff member(s) for feedback, and when approved, the TAS team member will distribute the final version to the invitees/attendees, and store the agenda, action items and meeting minutes in the Department's designated document repository. Risks and Issues shall be updated in the master Risk and Issues log, as needed, after team meetings.

The TAS Team shall provide easy, navigable access to documentation at the functional-area level, providing comprehensive, searchable documentation in a user-friendly, portable, and printable format. The documentation shall be understandable by users at various skill levels; kept up to date with version control history. If technical documentation, the TAS Team will ensure that any data, tools, routines, configurations, program code, and schemas are stored in the repository.

The TAS Team shall ensure that the repository is set up in a way that access controls can be established for various types of documents. The TAS Team shall work with Department Staff to identify the appropriate software tool(s) to use for the Document Repository. The TAS team shall prepare a Documentation Management Plan that will be used by all MES vendors and State staff who store items in the repository.

4.6 Information Technology

The Department's applications and all systems and components supporting them, including but not limited to any forms and databases that include Personal Health, Personal Identification or other New York State information, must comply with all NYS security policies and standards listed at <https://its.ny.gov/policies>.

The contractor shall be responsible for providing the TAS Team, both Key Staff and Supplemental Staff, with IT equipment, laptops and other components necessary for the TAS Team to perform the responsibilities and meet requirements of this RFP. Laptops must have enough processor speed, memory, and hard drive space to operate and support the current release of Microsoft's operating system and Microsoft Office Suite software as well as any additional equipment and software necessary to meet the requirements of this RFP. All laptops will be imaged by the Department to facilitate access to Departmental assets. The contractor will ensure that the TAS Team have enough projectors to use during team meetings. The specific requirements for the Facilities, Equipment and Other Operational items are described in Attachment L – TAS Facilities Requirements. The TAS team will also be connecting to NYS network and will be using Department provided collaboration tools.

The contractor shall be responsible for the provision and maintenance of all personal computer-based workstations and laptops, printers, supporting peripherals and software needed. The Contractor shall replace the laptop computers, PC software, and network printers every three (3) years with the most current technology available unless otherwise directed by the Department.

The Contractor shall provide cost information for the operations equipment, facilities, and other operational expenses in Attachment B – TAS Cost Proposal (see Schedule E. Bidder's Add'l Operations). Any funds not used by the project at the conclusion of the contract shall be credited back to the Department.

During the life of the contract, the Department or TAS Team may identify technology products or services (hardware, software, licenses, etc.) external to the contractor that must be procured. Any additional hardware, software, related maintenance, communications services, or other product or services components necessitated and acquired as the result of related work initiatives, may be supplied when requested by the Department at pricing to be mutually agreed upon between the Department and the contractor. These items or services will be funded through line item identified as "Supplemental Funding" within Schedule A of the Cost Proposal. The Supplemental Funding is a predetermined amount and remains fixed in the cost proposal. The contractor will use best efforts to obtain three (3) quotations for the items or services to be procured. The contractor shall provide substantiation for the pricing elements to the satisfaction of the Department. The maximum markup rate of six percent (6%) may be applied to these items or services. Any amounts not used in any contract year may be available for use in subsequent years. All purchases are considered the property of the Department.

The TAS team shall ensure that any system, framework, platform, software licenses, or service provided or created will be fully transferrable to the Department or its successor entity during contract transition (section 4.9) and by the end of the contract term. The Centers for Medicare and Medicaid (CMS) Standards and Conditions for Medicaid IT require that the State owns any software that is designated, developed, installed or improved using CMS (90%) FFP funding. See regulation: <https://www.govregs.com/regulations/42/433.112>.

4.7 Security

The selected contractor shall comply with all privacy and security policies and procedures of the Department [nys-p03-002 information security policy.pdf](#) and applicable state and federal law and administrative guidance, including compliance with NIST 800.53 standards, with respect to the performance of this contract

The contractor is required, as applicable, to execute a number of security and privacy agreements with the Department including a Business Associate Agreement (Attachment 8, Appendix H) and a Data Use Agreement (DUA) at contract signing. Applicability of such agreements will be determined solely by the Department.

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

The contractor shall maintain and provide to the Department upon request its data confidentiality plans and procedures for meeting security requirements as they relate to the deliverables and services referenced within this RFP, including all plans and procedures as they relate to subcontractor work where applicable.

The contractor will develop and maintain adequate fully trained staff to respond to all stakeholder inquiries while ensuring confidentiality and maintaining the security and integrity of all systems. Staff must be trained to understand and observe requirements related to confidentiality and operating guidelines for functions included in this RFP.

The contractor will comply fully with all current and future updates of the security procedures of the Department, as well as with all applicable State and Federal requirements in performance of this contract.

4.8 Transition

The transition represents a period when the current contract activities performed by the TAS contractor must be turned over to the Department, or successor contractor during or at the end of the TAS contract. During this time, the contractor TAS Team shall collaborate with the successor entity to seamlessly transfer all roles and responsibilities, in progress work, and repository artifacts. Throughout the life of the contract the TAS Team activities must be conducted and documented in such a way that the successor entity can take over with a reasonable transition period, no longer than six months, and that the Department can reasonably conduct future procurements on a level playing field.

4.8.1 Transition Management

The TAS contractor shall ensure that knowledge transfer and transition to the Department, or successor contractor will be done in a way that provides the Department with uninterrupted Technical Advisory Services and without incident. This includes a complete and total transfer of all solutions, data, files, reports, plans and diagrams, historical versions of data and documents, and records generated from the inception of the contract through the end of the contract, to the Department or successor contractor should that be required during or upon expiration of this contract.

The contractor shall manage and retain all staff to meet all requirements listed in the RFP during the transition, this includes key and supplemental staff, unless otherwise agreed to by the Department. All staffing, reporting and record requirements, security standards and requirements, and performance standards are still in effect during the transition period, unless otherwise stated by the Department. The vendor can anticipate a gradual release of supplemental staff as approved by the Department during the Transition period.

4.8.2 Transition Plan

An initial Transition Plan shall be submitted to the Department within 180 calendar days from the start date of the contract. The Department will provide feedback and the transition plan will be updated accordingly and approved

by the Department when all updates are satisfactory. From then on, the Transition Plan will be updated and submitted annually from the start date of this contract and approved by the Department.

Each year, with the updated Transition Plan, all documentation, deliverables, and work products (solutions, data, files, reports, plans and diagrams, historical versions of data and documents, Strategic Management Plans, and records generated) must be verified that they are stored in the Department's repository in order ensure the repository is kept up to date.

Upon identification of a contract end date or the expiration date of the contract, the TAS contractor will update the Transition Plan and submit it to the Department no later than four (4) months before the identified last day or expiration date of the contract. The plan must be kept current and tracked, along with weekly transition status reporting during the remaining four months of the contract.

Attachment N – TAS Service Level Agreement (SLAs) includes a summary chart of the transition SLAs.

5 ADMINISTRATIVE INFORMATION

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

5.1 Restricted Period

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

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

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

5.2 Questions

There will be an opportunity available for submission of written questions and requests for clarification with regard to this RFP. All questions and requests for clarification of this RFP should cite the particular RFP Section and paragraph number where applicable and must be submitted via email to OHIPContracts@health.ny.gov. It is the bidder's responsibility to ensure that email containing written questions and/or requests for clarification is received at the above address no later than the Deadline for Submission of Written Questions as specified in [Section 1.0](#) (Calendar of Events). Questions received after the deadline may **not** be answered.

Any qualifications or exceptions to Attachment 8 (DOH Agreement) proposed by a bidder to this RFP should be submitted in writing prior to the deadline for submission of written questions indicated in Section 1.0 (Calendar of Events). Any such qualifications or exceptions that are not proposed prior to the deadline for submission of written questions may not be considered by DOH after contract award.

5.3 Right to Modify RFP

The Department of Health reserves the right to modify any part of this RFP, including but not limited to, the date and time by which proposals must be submitted and received by the Department, at any time prior to the Deadline for Submission of Proposals listed in [Section 1.0](#) (Calendar of Events). Modifications to this RFP shall be made by issuance of amendments and/or addenda.

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

If the bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Bidder shall immediately notify the Department of such error in writing at OHIPContracts@health.ny.gov and request clarification or modification of the document.

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

5.4 Payment

The contractor shall submit invoices and/or vouchers to the State's designated payment office:

Preferred Method: Email a .pdf copy of your signed voucher to the BSC at: AccountsPayable@ogs.ny.gov with a subject field as follows:

Subject: **Unit ID: 3450420 Contract # C038392**

Alternate Method: Mail vouchers to BSC at the following U.S. postal address:

**NYS Department of Health
Unit ID 3450420
c/o NYS OGS BSC Accounts Payable
Building 5, 5th Floor
1220 Washington Ave.
Albany, NY 12226-1900**

Payment for invoices and/or vouchers submitted by the CONTRACTOR shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The CONTRACTOR shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at epayments@osc.state.ny.us or by telephone at 518-474-6019. CONTRACTOR acknowledges that it will not receive payment on any invoices and/or vouchers submitted under this Contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

In addition to the Electronic Payment Authorization Form, a Substitute Form W-9 must be on file with the Office of the State Comptroller, Bureau of Accounting Operations. Additional information and procedures for enrollment can be found at <http://www.osc.state.ny.us/epay>.

Completed W-9 forms should be submitted to the following address:

NYS Office of the State Comptroller
Bureau of Accounting Operations
Warrant & Payment Control Unit
110 State Street, 9th Floor

Albany, NY 12236

Payment of such invoices and/or vouchers by the State (NYS Department of Health) shall be made in accordance with Article XI-A of the New York State Finance Law. Payment terms will be:

5.4.1 TAS Strategic Management Plans Payment

The awarded contractor will supply the full content of the baseline plans for each plan listed in Attachment O – TAS Strategic Management Plans. Their proposed fixed fee includes the baseline plan and NYS customizations. The contractor will not invoice for staff hours applied to develop the initial custom plans; this shall be included in the fixed fee proposed. Once the Department approves the initial customized plan, the contractor may submit an invoice for payment of that plan using the fixed fee amount provided in Schedule F of the contractor's Attachment B – Cost Proposal.

5.4.2 Key Staff Payment

Key Staff payments will be based on hours worked using the hourly rates supplied in Schedule D of the contractor's Attachment B – Cost Proposal for the labor categories identified in Attachment D.1- TAS Staffing Table Key Staff Responsibility and Experience Descriptions. Key Staff will be required to record their time using the contractor's proposed time tracking solution which should be used to report all Key staff time for approval by the Department for payment. Payment for a specific title will be withheld for any Key Staff vacancies.

5.4.3 Supplemental Staff Payment

The Department will use the SOW forms and process to define scope and supplemental staff needed. Payment is based upon actual hours worked and at the rates supplied in Schedule D of the contractor's Attachment B – Cost Proposal for the labor categories identified in Attachment D.2 - TAS Staffing Table Supplemental Staff Responsibility and Experience Descriptions. These payments will be variable and based on the actual hours by contractor's Supplemental Staff working Department approved assignments in the SOW.

Supplemental Staff will be required to manage their time using the contractor's proposed time tracking solution. The contractor must report contractor's time to the Department for approval. Once approved, the contractor may submit an invoice for payment based on the actual hours worked, less credit for unmet SLAs (vacancies beyond 45 days).

The Department has budgeted a maximum number of Supplemental staff for each contract year. If there is remaining unused funds in any contract year, the Department will use the unused funds in subsequent years.

5.4.4 Invoices

Monthly invoices will be due thirty (30) calendar days after the end of the month and must be accompanied by the current staffing roster and timesheet records. Invoices that are submitted without this supporting documentation will not be processed for payment. Additional information, including but not limited to, subcontractor's invoices and timesheets must be made available upon request of the DOH. The Contractor will have to pay the subcontractor within 30 calendar days of the submission of the invoice to DOH.

The monthly invoice shall include credit for vacancies over 45 days, and any other documents and reports that are not within their SLA shall be credited on the invoice, as described in Attachment N – TAS Service Level Agreement (SLAs).

If the invoice and supporting documentation are not received within the thirty (30) calendar days from the close of the preceding month, a 10% reduction penalty will be enacted on the subject invoice(s). If an invoice is rejected due to a material issue and a revision is required by the Contractor, a 0.5 penalty of the invoice amount may be assessed at the Department's discretion. In the event the invoice is rejected a second time for any material issue that requires

resubmission, then DOH may reduce the invoice by an additional 2% of the invoice amount. The revised invoice must be provided within 30 calendar days following notification from the Department.

5.4.5 Supplemental Funding Payment

Payment for purchases as described in Section 4.6 is based on actual cost and delivery of components and services and mark up for the Department approved component or service.

5.4.6 Additional Operations Payment

The contractor must provide Additional Operations cost information that includes equipment, facilities, and other operational expenses (Section 4.3.3.3) that are not already built into the Staffing rates. The additional operations costs refer to the items described in Attachment L and proposed in Schedule E of the cost proposal. Upon request, the contractor shall provide documentation that show the details of these fixed annual costs. The contractor will not be reimbursed for any Additional Operations costs not included in their Attachment B: Cost Proposal.

5.4.7 Renewal Period

If the Department elects to exercise the four-year renewal period, the Contractor's rates for years seven through ten will be negotiated with the Department prior to execution of the renewal.

5.5 Minority & Woman-Owned Business Enterprise Requirements

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

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of minority-and women-owned business enterprises in state procurement contracting versus the number of minority-and women-owned business enterprises that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that the Department establish goals for maximum feasible participation of New York State Certified minority- and women – owned business enterprises ("MWBE") and the employment of minority groups members and women in the performance of New York State contracts.

Business Participation Opportunities for MWBEs

For purposes of this solicitation, the Department hereby establishes an overall goal of **30%** for MWBE participation, **15%** for Minority-Owned Business Enterprises ("MBE") participation and **15%** for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs and outreach efforts to certified MWBE firms). A contractor ("Contractor") on the subject contract ("Contract") must document good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and Contractor agrees that the Department may withhold payment pending receipt of the required MWBE documentation. For guidance on how the Department will determine "good faith efforts," refer to 5 NYCRR §142.8.

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

By submitting a bid, a bidder agrees to complete an MWBE Utilization Plan ([Attachment 5](#), Form #1) of this RFP. The Department will review the submitted MWBE Utilization Plan. If the plan is not accepted, the Department may issue a notice of deficiency. If a notice of deficiency is issued, Bidder agrees that it shall respond to the notice of deficiency within seven (7) business days of receipt. The Department may disqualify a Bidder as being non-responsive under the following circumstances:

- a) If a Bidder fails to submit a MWBE Utilization Plan;
- b) If a Bidder fails to submit a written remedy to a notice of deficiency;
- c) If a Bidder fails to submit a request for waiver (if applicable); or
- d) If the Department determines that the Bidder has failed to document good-faith efforts;

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

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

If the Contractor is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such finding will constitute a breach of Contract and the Department may withhold payment from the Contractor as liquidated damages.

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

New York State certified Minority - and Women-Owned Businesses (M/WBE) may request that their firm's contact information be included on a list of M/WBE firms interested in serving as a subcontractor for this procurement. The listing will be publicly posted on the Department's website for reference by the bidding community. A firm requesting inclusion on this list should send contact information and a copy of its NYS M/WBE certification to OHIPContracts@health.ny.gov before the Deadline for Questions as specified in [Section 1.0](#) (Calendar of Events). Nothing prohibits an M/WBE Vendor from proposing as a prime contractor.

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

5.6 Equal Employment Opportunity (EEO) Reporting

By submission of a bid in response to this solicitation, the Bidder agrees with all of the terms and conditions of [Attachment 8](#) Appendix A including Clause 12 - Equal Employment Opportunities for Minorities and Women. Additionally, the successful bidder will be required to certify they have an acceptable EEO (Equal Employment Opportunity) policy statement in accordance with Section III of Appendix M in [Attachment 8](#).

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin,

sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the Contractor, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

To ensure compliance with this Section, the Bidder should submit with the bid or proposal an Equal Employment Opportunity Staffing Plan ([Attachment 5](#), Form #4) identifying the anticipated work force to be utilized on the Contract. Additionally, the Bidder should submit a Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement ([Attachment 5](#), Form # 5), to the Department with their bid or proposal.

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

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

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

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

Forms are available through these links:

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

5.8 Contract Insurance Requirements

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

5.9 Subcontracting

Bidder's may propose the use of a subcontractor. The Contractor shall obtain prior written approval from NYS Department of Health before entering into an agreement for services to be provided by a subcontractor. The

Contractor is solely responsible for assuring that the requirements of the RFP are met. All subcontracts shall contain provisions specifying that the work performed by the subcontractor must be in accordance with the terms of the prime contract, and that the subcontractor specifically agrees to be bound by the confidentiality provisions set forth in the agreement between the Department and the Contractor. The Department reserves the right to request removal of any bidder's staff or subcontractor's staff if, in the Department's discretion, such staff is not performing in accordance with the Agreement. Subcontractors whose contracts are valued at or above \$100,000 will be required to submit the Vendor Responsibility Questionnaire upon selection of the prime contractor.

5.10 Department of Health's Reserved Rights

The Department of Health reserves the right to:

1. Reject any or all proposals received in response to the RFP;
2. Withdraw the RFP at any time, at the agency's sole discretion;
3. Make an award under the RFP in whole or in part;
4. Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
5. Seek clarifications and revisions of proposals;
6. Use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP;
7. Prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available;
8. Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments;
9. Change any of the scheduled dates;
10. Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders;
11. Waive any requirements that are not material;
12. Negotiate with the successful bidder within the scope of the RFP in the best interests of the state;
13. Conduct contract negotiations with the next responsible bidder, should the Department be unsuccessful in negotiating with the selected bidder;
14. Utilize any and all ideas submitted in the proposals received;
15. Every offer shall be firm and not revocable for a period of three hundred and sixty-five days from the bid opening, to the extent not inconsistent with section 2-205 of the uniform commercial code. Subsequent to such three hundred and sixty-five days, any offer is subject to withdrawal communicated in a writing signed by the offeror; and,
16. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offeror's proposal and/or to determine an offeror's compliance with the requirements of the solicitation.

5.11 Freedom of Information Law ("FOIL")

All proposals may be disclosed or used by the Department to the extent permitted by law. The Department may disclose a proposal to any person for the purpose of assisting in evaluating the proposal or for any other lawful purpose. All proposals will become State agency records, which will be available to the public in accordance with the Freedom of Information Law. **Any portion of the proposal that a Bidder believes constitutes proprietary information entitled to confidential handling, as an exception to the Freedom of Information Law, must be clearly and specifically designated in the proposal as directed in [Section 6.1 \(B\)](#) of the RFP.** If the Department agrees with the proprietary claim, the designated portion of the proposal will be withheld from public disclosure. Blanket assertions of proprietary material will not be accepted, and failure to specifically designate proprietary material may be deemed a waiver of any right to confidential handling of such material.

5.12 Lobbying

Chapter 1 of the Laws of 2005, as amended by Chapter 596 of the Laws of 2005, made significant changes as it pertains to development of procurement contracts with governmental entities. The changes included:

- a) made the lobbying law applicable to attempts to influence procurement contracts once the procurement process has been commenced by a state agency, unified court system, state legislature, public authority, certain industrial development agencies and local benefit corporations;
- b) required the above-mentioned governmental entities to record all contacts made by lobbyists and contractors about a governmental procurement so that the public knows who is contacting governmental entities about procurements;
- c) required governmental entities to designate persons who generally may be the only staff contacted relative to the governmental procurement by that entity in a restricted period;
- d) authorized the New York State Commission on Public Integrity, (now New York State Joint Commission on Public Ethics), to impose fines and penalties against persons/organizations engaging in impermissible contacts about a governmental procurement and provides for the debarment of repeat violators;
- e) directed the Office of General Services to disclose and maintain a list of non-responsible bidders pursuant to this new law and those who have been debarred and publish such list on its website;
- f) required the timely disclosure of accurate and complete information from offerors with respect to determinations of non-responsibility and debarment; (Bidders responding to this RFP should submit a completed and signed Attachment 1, "Prior Non-Responsibility Determination".)
- g) increased the monetary threshold which triggers a lobbyist obligation under the Lobbying Act from \$2,000 to \$5,000; and
- h) established the Advisory Council on Procurement Lobbying.

Subsequently, Chapter 14 of the Laws of 2007 amended the Lobbying Act of the Legislative Law, particularly as it related to specific aspects of procurements as follows: (i) prohibiting lobbyists from entering into retainer agreements on the outcome of government grant making or other agreement involving public funding; and (ii) reporting lobbying efforts for grants, loans and other disbursements of public funds over \$15,000.

The most notable, however, was the increased penalties provided under Section 20 of Chapter 14 of the Laws of 2007, which replaced old penalty provisions and the addition of a suspension option for lobbyists engaged in repeated violations. Further amendments to the Lobbying Act were made in Chapter 4 of the Laws of 2010.

Questions regarding the registration and operation of the Lobbying Act should be directed to the New York State Joint Commission on Public Ethics.

5.13 State Finance Law Consultant Disclosure Provisions

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

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

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

State Consultant Services Form A: Contractor's Planned Employment and Form B: Contractor's Annual Employment Report may be accessed electronically at: <http://www.osc.state.ny.us/agencies/forms/ac3271s.doc> and

<http://www.osc.state.ny.us/agencies/forms/ac3272s.doc>.

5.14 Debriefing

Once an award has been made, bidders may request a debriefing of their proposal. Please note the debriefing will be limited only to the bidder's proposal and will not include any discussion of other proposals. Requests must be received no later than fifteen (15) calendar days from date of award or non-award announcement.

5.15 Protest Procedures

In the event unsuccessful bidders wish to protest the award resulting from this RFP, bidders should follow the protest procedures established by the Office of the State Comptroller (OSC). These procedures can be found in Chapter XI Section 17 of the Guide to Financial Operations (GFO). Available on-line at:

<http://www.osc.state.ny.us/agencies/guide/MyWebHelp/>

5.16 Iran Divestment Act

By submitting a bid in response to this solicitation or by assuming the responsibility of a Contract awarded hereunder, Bidder/Contractor (or any assignee) certifies that it is not on the "Entities Determined To Be Non-Responsive Bidders/Offerors Pursuant to The New York State Iran Divestment Act of 2012" list ("Prohibited Entities List") posted on the OGS website (currently found at this address: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>) and further certifies that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List. Additionally, Bidder/Contractor is advised that should it seek to renew or extend a Contract awarded in response to the solicitation, it must provide the same certification at the time the Contract is renewed or extended.

During the term of the Contract, should the Department receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, the Department will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the Department shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, seeking compliance, recovering damages, or declaring the Contractor in default. The Department reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

5.17 Piggybacking

New York State Finance Law section 163(10)(e) (see also <http://www.ogs.ny.gov/purchase/snt/sflxi.asp>) allows the Commissioner of the NYS Office of General Services to consent to the use of this contract by other New York State Agencies, and other authorized purchasers, subject to conditions and the Contractor's consent.

5.18 Encouraging Use of New York Businesses in Contract Performance

Public procurements can drive and improve the State's economic engine through promotion of the use of New York businesses by its contractors. New York State businesses have a substantial presence in State contracts and strongly contribute to the economies of the state and the nation. In recognition of their economic activity and leadership in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. All bidders should complete [Attachment 6](#), Encouraging Use of New York Businesses in Contract Performance, to indicate their intent to use/not use New York Businesses in the performance of this contract.

5.19 Diversity Practices Questionnaire

Diversity practices are the efforts of contractors to include New York State-certified Minority and Women-owned Business Enterprises (“MWBEs”) in their business practices. Diversity practices may include past, present, or future actions and policies, and include activities of contractors on contracts with private entities and governmental units other than the State of New York. Assessing the diversity practices of contractors enables contractors to engage in meaningful, capacity-building collaborations with MWBEs.

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

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

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

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

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

5.21 Intellectual Property

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

5.22 Vendor Assurance of No Conflict of Interest or Detrimental Effect

All bidders responding to this solicitation should submit [Attachment 4](#) to attest that their performance of the services outlined in this RFP does not create a conflict of interest and that the bidder will not act in any manner that is detrimental to any other State project on which they are rendering services.

5.23 Executive Order 177 Prohibiting Contracts with Entities that Support Discrimination

The New York State Human Rights Law, Article 15 of the Executive Law, prohibits discrimination and harassment based on age, race, creed, color, national origin, sex, pregnancy or pregnancy-related conditions, sexual orientation, gender identity, disability, marital status, familial status, domestic violence victim status, prior arrest or conviction record, military status or predisposing genetic characteristics. In accordance with Executive Order No. 177, the Offeror certifies that they do not have institutional policies or practices that fail to address those protected status under the Human Rights Law.

5.24 Executive Order 16 Prohibiting Contracting with Entities Conducting Business Operations in Russia

All Bidders responding to this solicitation should submit [Attachment 12](#) certifying the status of their business operations in Russia, if any, pursuant to Executive Order 16.

6 PROPOSAL CONTENT

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

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

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

6.1 Administrative Proposal

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

A. Bidder's Disclosure of Prior Non-Responsibility Determinations

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

B. Freedom of Information Law – Proposal Redactions

Bidders must clearly and specifically identify any portion of the proposal that a Bidder believes constitutes proprietary information entitled to confidential handling as an exception to the Freedom of Information Law. See [Section 5.11](#), (Freedom of Information Law)

C. Vendor Responsibility Questionnaire

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

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

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

D. Vendors Assurance of No Conflict of Interest or Detrimental Effect

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

E. M/WBE Forms

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

F. Encouraging Use of New York Businesses in Contract Performance

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

G. Bidder's Certified Statements

Submit [Attachment 7](#), "Bidder's Certified Statements", which includes information regarding the Bidder. Attachment A must be signed by an individual authorized to bind the Bidder contractually. Please indicate the title or position that the signer holds with the Bidder. DOH reserves the right to reject a proposal that contains an incomplete or unsigned [Attachment 7](#) or no [Attachment 7](#).

H. References

The Department requests references be provided for the Prime Contractor and any subcontracting firms. The bidder shall provide references using [Attachment 9](#), (References) for three (3) clients who can confirm the Prime Contractor experience and qualifications to perform the type of services required under this contract. If Subcontracting firm(s) are proposed, provide three references who can confirm the Subcontractor experience and qualifications to perform the type of services required under this contract. Experience and qualification information must show that the prime and/or subcontractor has performed similar services. Provide firm names, addresses, contact names, telephone numbers, and email addresses.

I. Diversity Practices Questionnaire

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

J. Executive Order 177 Prohibiting Contracts with Entities that Support Discrimination

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

K. Executive Order 16 Prohibiting Contracting with Entities Conducting Business Operations in Russia

Submit [Attachment 12](#) certifying the status of your business operations in Russia.

L. State Finance Law Consultant Disclosure Provision

In accordance with New York State Finance Law Section 163(4)(g), State agencies must require all

Contractors, including subcontractors, that provide consulting services for State purposes pursuant to a contract to submit an annual employment report for each such contract.

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

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

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

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

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

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

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

Submit these Forms, available through these links:

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

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

6.2 Technical Proposal

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

A Technical Proposal that is incomplete in any material respect may be eliminated from consideration. The following outlines the information requested to be provided by bidders. The information requested should be provided in the prescribed format. Responses that do not follow the prescribed format may be eliminated from consideration. All responses to the RFP may be subject to verification for accuracy.

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

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

A. Title Page

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

B. Table of Contents

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

C. Executive Summary

Please provide a narrative description that incorporates the following:

The bidder shall provide an executive summary overview that describes how their unique experience and any sub-contractor partnerships will provide the staffing and advisory services described in the RFP over the life of the contract.
Describe how you will establish and maintain a partner relationship with the Department.
Describe how you will meet the goals and objectives of the MES program.
The bidder shall provide a narrative description of their approach will meet all scope and staffing in the RFP.

Please limit this section to no more than two (2) pages.

D. Documentation of Bidder's Eligibility Responsive to Section 3.0 of RFP

Bidders must be able to meet all the minimum requirements stated in Section 3.0 of the RFP. The bidder must submit documentation that provides sufficient evidence of meeting the criterion. This documentation must be provided using **Attachment F - TAS Minimum Bidder Qualifications** to demonstrate how they meet the minimum qualifications to propose.

The Department will accept proposals from organizations with the following types of experience as the prime:

1. A minimum of three (3) projects, with 15 staff or more and a combined budget of more than \$15,000,000 within the past ten years. These projects must have provided Business and Technology Advisory Services or System Integration Initiatives on an enterprise Information Technology system or Technology projects, and
2. A minimum of three (3) years' organizational experience as a practice with Project Management Office (PMO) or with Project Management practices that include: System Development Lifecycle (SDLC) Methodologies, Information Technology Governance processes and PMO process improvements; and
3. A minimum of three (3) years' organizational experience as a practice with writing and preparing Information Technology (IT) budgets, program contract management and vendor management, as well as managing contract scope, schedule, budget, and terms and conditions, for various contract types such as Request for Information (RFI), Request for Proposals (RFP), Requests for Quotes (RFQ), or Invitation for Bids (IFB); and
4. A minimum of three (3) years' organizational experience as a practice with design, development, and implementation into production and operation of a large system following Enterprise Architecture best practices; and
5. A minimum of three (3) years' organizational experience as a practice with assessing, implementing, and using an industry standard Enterprise Architecture framework such as The Open Group Architecture Framework (TOGAF), developing architecture standards, and implementing architecture models, identifying IT capabilities, implementing new processes and standards for Enterprise Architecture Planning services; and
6. A minimum of three (3) years organizational experience with creating, customizing plans, and executing the Organizational Change Management Plan, within at least one (1) organization with over 300 staff.

Experience acquired concurrently is considered acceptable.

Preference will be given to contractors who are able to meet the following Preferred Qualifications:

1. Five (5) or more years' experience with advising a State Medicaid Agency including analysis of Medicaid systems and/or MES landscape.
2. Five (5) years' experience writing and managing Federal or State Governmental contracts.

E. Technical Proposal Narrative

The bidder shall provide a narrative description of their approach to meet the requirements in the RFP. The technical proposal should provide satisfactory evidence of the bidder's ability to meet and expressly respond to each proposal requirement. When describing experience, include how that experience will be beneficial to this NYS MES Program.

To assist evaluators in locating proposal responses to requirements, bidders should complete **Attachment G - TAS Proposal Requirements Matrix** by filling in the section and page numbers of the location within the Technical Proposal Narrative where the bidder's response to the requirement(s) can be found. Each section of the RFP requirements has a corresponding tab in **Attachment G - TAS Proposal Requirements Matrix** excel workbook.

Elements of the technical proposal narrative are as follows:

Approach to Project

- E1. **Scope Overview** – Please describe in narrative form how your organization will meet the following requirements: (Section 4.1)

Describe your capabilities, knowledge, and experience with developing a transformation or modernization detailed roadmap that will meet the Department's scope described in section's 4.1 and 4.2.
Describe your approach to identifying short-term, mid-term and long-term work activities.
Describe your knowledge and experience with executing business operations and projects work in an integrated and coordinated manner.
Describe your approach toward building relationships and collaborating with Department and Department contractor staff.
Describe your capabilities, knowledge, and experience with assisting agencies/organizations with maturing their internal business processes.
Describe your overall approach and plan for assessing and improving the Departments MES systems, programs, and processes, including a high-level illustration of the timeline with key activities, deliverables, and milestones that includes the anticipated resource allocations by labor category that will support the proposed plan.

- E2. **Enterprise Architecture** – Please describe in narrative form how your organization will meet the following requirements: (Section 4.2.1)

Describe in detail your enterprise architecture methodology, approach, activities, tasks and sequencing of tasks, as described in Section 4.2.1.
Describe the anticipated enterprise architecture deliverables and the rationale for including them in the scope.
Describe your knowledge and experience for each subfunction A-I (section 4.2.1) and how your team will perform the work involved toward meeting these requirements:
A. Business Architecture
B. Organization Redesign
C. Business and Systems Requirements
D. Technical Architecture
E. Business Process Reengineering
F. Information Architecture
G. Architectural Governance
H. Test Management
I. Security Architecture
Describe your overall approach and plan for evaluating, improving, and implementing the MES Enterprise Architecture processes and governance, including how the application of the methodologies and tools will advance the MES roadmap. List tools your team will use to build out the EA program. Describe interactions with customers and vendors.

E3. Program and Project Management – Please describe in narrative form how your organization will meet the following requirements: (Section 4.2.2)

Describe in detail your Project Management experience and methodologies used for managing project portfolio's, program management, tracking programs and projects.
Describe in detail your Project Management experience and approaches with mentoring or coaching Project Managers and how you will approach maturing project management processes.
Describe in detail your Project Management experience with project management tools and processes. Provide recommendations for Project Management/Portfolio tools and how they will be used in the MES Program.
Describe the Project Management deliverables you anticipate will be produced during this engagement, based on the requirements in Section 4.2.2.
Describe your knowledge and experience for each subfunction A-F (section 4.2.2) and how your team will perform the work involved toward meeting these requirements:
A. Enterprise Program and Project Management
B. Project Origination
C. Certification Management
D. Key Performance Indicators (KPI), Metrics, and Performance Management
E. Project Benefit Realization
F. Demand Management
Describe your overall approach and plan for evaluating and improving the MES Project Management processes and governance, including support for developing and maturing the Enterprise PMO, demand management (including estimation and business case development), project and SDLC lifecycles, scope and schedule management, project performance, and project benefit realization.

E4. Program Contract Management – Please describe in narrative form how your organization will meet the following requirements: (Section 4.2.3)

Describe in detail your IT Financial and Contract Management knowledge and experience with budgeting, tracking, and forecasting an IT Project Portfolio and Operational IT expenditures.
Describe in detail your IT Financial and Contract Management knowledge and experience with IT cost estimation for system changes, proposed budgets for projects or systems, including federal and state funding portions.
Describe your knowledge and experience for each subfunction A-D (section 4.2.3) and how your team will perform the work involved toward meeting these requirements:
A. Budget Planning & Monitoring
B. Cost Estimation
C. Procurement Support
D. Information Technology Asset Management

- E5. **People and Change** – Please describe in narrative form how your organization will meet the following requirements: (Section 4.2.4)

Describe in detail your Organizational Change Management (People & Change) capabilities, knowledge and experience with Organizational Change Management. Include the scope, staff size and OCM techniques used for the successfully implemented change management program.
Describe your knowledge and experience for each subfunction A-D (section 4.2.4) and how your team will perform the work involved toward meeting these requirements:
A. Organizational Change Management
B. Stakeholder Management
C. User and Stakeholder Training
D. Communications Planning and Management
Describe your overall approach and plan for supporting the MES OCM requirements, including support for the transition and transformation of the MES programs, processes, and systems.

Staffing and Support

- E6. **Staffing** – Please describe in narrative form how your organization will meet the following Staffing requirements: (Section 4.3)

Describe how the proposed staff are best suited to meet the requirements described in this RFP.
Describe how staff will be identified, recruited, and supported by the contractor firm.
Describe how the proposed staff will understand their roles and responsibilities based on the requirements described in this RFP.
Describe how back-up staff will be designated.
Describe how continuity of responsibilities will occur should a staff member need to be replaced.
Describe the management structure, staff management process and how talent management support will be provided.
In the event a staff remediation plan is requested by the Department, describe how you will provide oversight and manage the remediation plan.
Staff development and training necessary for the team members to perform their function.
Any resource/staff management software tools introduced to meet the requirements of this engagement (also see Information Technology Section 4.6 for staff equipment to be used and maintained during the engagement. <i>(Note: Any proposed software must be approved by the Department prior to its use.)</i>)

Additionally, Bidders should complete **Attachment H – TAS Key Staff Proposal Form** for the qualified staff proposed to fulfill the requirements of the RFP and provide a resume for each Key Staff member proposed. Bidders should include all Key staff in their proposal. Refer to the staff requirements in the Staffing Table for Key Staff (**Attachment D.1 - TAS Staffing Table Key Staff Responsibility and Experience Descriptions**). (Section 4.3)

E7. MES Program and TAS Contract Management – Please describe in narrative form how your organization will meet the following requirements: (Section 4.4)

Describe what you believe will be the most effective approach to managing the entire contract and its many workstreams.
Describe how you will integrate into the project management plans, each SOW as it is approved.
Describe how the MES portfolio will consider the existing EPMO initiatives when determining priorities, dependances, staff resources, etc.
Describe how the staffing/resource reports will be maintained. Include how the TAS Team will interact with other onboarded MES vendor staff.
Describe how staffing/resource needs or changes will be managed.
Describe the approach to Scope definition and Scope validation. Describe how scope changes will be identified, defined, and tracked.
Describe the approach for Quality Management. Describe how quality will be determined, by whom, and when, and how any rework will be managed.
Describe how the Communication plan will include all stakeholders. Describe your approach to stakeholder analysis and how the communication plan will be managed. Describe the potential for multiple, focused communication plans.
Describe how all Risks and issues will be tracked, mitigated, and escalated.
Describe how the Benefits Realization Management approach will be managed. How will KPI and metrics be created and tracked on an ongoing basis?
Describe how the budget will be tracked, how variances will be identified and reported, and how trends and forecasts information will be created.
Describe how SLAs will be monitored and reported.
Describe how Program and Project reporting will be managed.
Describe how the contract budget will be managed, including invoicing, SLA adjustments, timing, etc.
Describe how all management plans will be monitored for changes and how quarterly progress meetings with the Department will occur.
Describe how the Transition Plan will be created, maintained, and managed.
List and describe any software tools proposed and how they will be used.

E8. Reporting – Please describe in narrative form how your organization will meet the following requirements: (Section 4.5)

Describe the roles, process, and procedures to develop the biweekly status reports described in section 4.5.1.
Describe the roles, process, and procedures to develop the quarterly status reports.
Describe how to determine quarterly status report key information to share with the Department.
Describe how staff time tracking will be managed.
Describe what is included in the time tracking report.
Describe how the Document Repository will be managed and kept up to date.

- E9. **Information Technology** – Please describe in narrative form how your organization will meet the following requirements: (Section 4.6)

Describe how you will meet the NYS security policies and standards listed at http://its.ny.gov/tables/technologypolicyindex.htm .
Office Facilities and Additional Operations
Describe the laptops and components to be provisioned to the TAS team and how they will be tracked and managed. Include a list of the software to be used during this engagement. Attachment L contains details for IT equipment.
Provide a list of equipment in addition to laptops and projectors, that is anticipated to be provisioned.
Describe how all provisioned equipment will be tracked and maintained.
Describe your approach to identifying and maintaining a suitable office facility and parking that includes an option for expansion. See Attachment L for detailed requirements.
Describe your approach to physical security and access to the office facility in order to meet the requirements in Attachment L.

Reminder – do not include cost information in this section of the technical proposal.

- E10. **Security** – Please describe in narrative form how your organization will meet the following requirements: (Section 4.7)

Describe how all privacy and security policies and procedures of the Department (https://its.ny.gov/policies) will be met throughout the contractual engagement. Include how you will ensure all staff, including subcontractors, will protect all sensitive data.
Describe how you will provide secure and confidential backup, storage and transmission for any hard copy and electronically stored information, including any hard copy or electronically stored documentation of subcontractors, where applicable.
If subcontractor(s) are hired, describe how you will ensure all subcontractors who store, process, analyze or transmit MCD on behalf of you, as the Prime Contractor, have the appropriate Security requirements in place.
Describe how you will ensure data confidentiality. Include your data confidentiality plans and procedures for meeting security requirements as they relate to the deliverables and services within this RFP, including all plans as they relate to subcontractor work, where applicable. Describe how you will comply with the requirements described in Attachment M - Division of Systems Security and Privacy Requirements.
Describe how you will develop and maintain fully trained staff (including subcontractor staff, where applicable) to respond to any stakeholder inquiries while protecting confidentiality and maintaining the security and integrity of all systems, include how you will train staff to ensure they understand and observe requirements related to confidentiality and operating guidelines for functions included in this RFP.
Describe your processes and procedures, as it relates to this RFP, if a security breach(es) were to occur.

- E11. **Transition** – Please describe in narrative form how your organization will meet the following

requirements: (Section 4.8)

Describe the activities and methodology to be included in the Transition Plan.
Describe the staff responsible for transition.
Describe how the training or transition activities will be performed to the successor contractor(s) or Department staff.
Describe your approach to maintaining the Documentation Repository during Transition.

F. TAS Strategic Management Plans

For each plan listed below, the bidder shall include as part of their proposal, a concise description of their experience using Strategic Management Plans, describing their successes and value brought to the work effort by using them, and may very briefly refer to any associated documents or subsidiary plans that support their previously developed strategic management plan(s). The description shall not exceed 1 page. In addition, bidders shall provide an outline for each plan of no more than 1 page. A total of no more than 2 pages per plan. Bidders shall use **Attachment P – Strategic Management Plans Proposal Form** to submit these materials.

The awarded bidder will be expected to bring their full previously developed plans and associated documents or subsidiary plans to be leveraged for NYS MES customizations. Each Strategic Management Plan deliverable shall be billed as all-inclusive fixed fee.

Reminder – do not include cost information in this section of the technical proposal. Cost information for the Strategic Management Plans is described below, in section 6.3, Cost Proposal)

ID	RFP Section Number	Separate Proposal Submission Items
F1	2.3 and 4.3	Staff Management Plan
F2	4.4, 4.5, and 4.8	MES Program and Contract Management Plan
F3	4.5.5	MES Documentation Management Plan
F4	4.2.2	MES Project Management Standards
F5	4.2.2	MES Program, Portfolio and Project Management Plan
F6	4.2.2	MES Certification Management Plan
F7	4.2.3 and 4.6	MES Budget, IT Assets and Procurement Management Plan
F8	4.2.4	MES Organizational Change Management Plan
F9	4.2.1	MES Enterprise Technical and Interoperability Architecture Management Plan
F10	4.2.1 and 4.7	Security Architecture Management Plan
F11	4.2.1	MES Enterprise Architecture Management Plan
F12	4.2.1	MES Enterprise Information Architecture, Data Management, and Data Governance Plan(s)

ID	RFP Section Number	Separate Proposal Submission Items
F13	2.5 and 4.0	MES Strategic Plan (Detailed Roadmap)

6.3 Cost Proposal

Submit a completed and signed **Attachment B – Cost Proposal**. The Cost Proposal should comply with the format and content requirements as detailed in this document and in Attachment B. Failure to comply with the format and content requirements may result in disqualification.

Offerors must use the Microsoft Excel spreadsheet titled “**Attachment B – TAS Cost Proposal**” in the form and content provided with this RFP. Deviations from this format are not permitted. Offerors MUST also submit the Excel spreadsheet in electronic form in accordance with Section 7, Proposal Submission. Failure to submit in this required format will result in disqualification.

Pricing schedules are provided in Attachment B – Cost Proposal. The cost proposal includes Pricing Schedule A, B, C, D, E and F.

The offeror should complete the hourly pay rate, mark up percentage; the bill rate is calculated for each labor category, for each year of the contract by entering the rates into Pricing Schedule D – Bidders Staffing Rates.

The offeror should not enter any information into, or modify the Pricing Schedules A, B, and C. The offeror should complete Pricing Schedule E, Additional Operations – Equipment, and may complete Additional Operations – Other Operational Expenses.

The offeror should complete Pricing Schedule F, Strategic Management Plans with their proposed fixed fee for each plan.

Descriptions and instructions for the Pricing Schedules contained in Attachment B – Cost Proposal are as follows:

- **Pricing Schedule A – Pricing Schedule Totals** - provides a total cost summary for the key and supplemental staffing through year 6. **Do not edit or change any values for this form. This form includes fixed pricing for Supplemental Funding as described in section 4.6 and is automatically updated from other Pricing Schedules.**
- **Pricing Schedule B – Key Staff** - provides a cost summary for key staff that is based on an annualized rate. **Do not edit or change any values for this form, this form is automatically updated from Pricing Schedule D.**
- **Pricing Schedule C – Supplemental Staff** - provides a cost summary for supplemental staff that is based on the hourly rate proposed and estimated fixed number of hours per contract year. Actual hours may be higher or lower and there is no guarantee of actual hours. **Do not edit or change any values within this form, this form is automatically updated from Pricing Schedule D.**
- **Pricing Schedule D – Bidder’s Staffing Rates** - the offeror should enter the pay rates, mark up percentage for each labor category for each year for both Key and Supplemental Staff. Bill Rate will be calculated based on pay rate and percentage mark up. These rates are fully loaded rates. These rates must not be exceeded for the duration of the contract without alternate provisions set forth within this RFP.

Fully Loaded Rates

The hourly staffing rates provided for both the key and supplemental staff is an all-inclusive rate and includes all personnel, overhead, indirect, travel, profit, equipment usage and any other miscellaneous costs. These rates will be used in the event the

Department determines the need to adjust for staff vacancies, or to add additional staff as set forth under Attachment B.

- **Pricing Schedule E – Bidder’s Add’l Operations** – the **offeror should enter** an annual amount for Additional Operations, which includes equipment and facilities described in Section 4.3 and Section 4.6 Information Technology. Do not include expenses that are included in the fully loaded labor category rates in Pricing Schedule D.
- **Pricing Schedule F – Bidder’s Strat. Mgmt. Plans** - the **offeror should enter** a fixed amount for each initial customized Strategic Management Plan. Each Strategic Management Plan deliverable shall be billed as a fixed fee. This fixed fee includes the baseline documents from the contractor and all TAS staff work hours to customize the plans.

Unused funding from any year can be moved to subsequent years and may be reallocated to any of the above schedules described above.

7 PROPOSAL SUBMISSION

The proposal must be received by the NYSDOH, no later than the Deadline for Submission of Proposals specified in [Section 1.0](#), (Calendar of Events). Late bids will not be considered.

A proposal consists of three distinct parts:

- (1) Administrative Proposal
- (2) Technical Proposal
- (3) Cost Proposal

Proposals must be submitted in three separate, clearly labeled emails as described below.

Using email, attach password protected, PDF proposals in three separate emails to: OHIPcontracts@health.ny.gov, with the Subject Line "RFP# 20179: Medicaid Technical Advisory Services. Include, as an attachment(s) to each email, the distinct PDF file(s) labeled "Administrative Proposal", "Technical Proposal" or Cost Proposal.

- Example: "Technical Proposal Submission, ABC Company, RFP # 20179".

All electronic proposal submissions should be clear and include page numbers on the bottom of each page. The body of the email submitted should also include the password and indicate the number of total pages intended, and where indicated, each subset of pages listed.

- Example: Technical proposal 30 pages total, Attachment C, 17 pages.

A font size of eleven (11) points or larger should be used with appropriate header and footer information. In the event an electronic submission cannot be read by DOH, DOH reserves the right to request a hard copy and/or electronic resubmission of any unreadable files. Offeror shall have 2 business days to respond to such requests and must certify the resubmission is identical to the original submission.

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

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

Submission of proposals in a manner other than as described in these instructions (e.g., fax, electronic transmission) will not be accepted.

7.1 No Bid Form

Bidders choosing not to bid are requested to complete the No-Bid form [Attachment 2](#).

8 METHOD OF AWARD

8.1 General Information

The Department 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)).

The Department at its sole discretion, will determine which proposal(s) best satisfies its requirements. The Department 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 evaluations have been completed and a selection of the winning proposal is made.

The evaluation process will be conducted in a comprehensive and impartial manner, as set forth herein, by an Evaluation Committee. The Technical Proposal and compliance with other RFP requirements (other than the Cost Proposal) will be weighted **80%** of a proposal’s total score and the information contained in the Cost Proposal will be weighted **20%** of a proposal's total score.

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

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

- (1) lowest cost and
- (2) proposed percentage of MWBE participation.

8.2 Submission Review

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

8.3 Technical Evaluation

The evaluation process will be conducted in a comprehensive and impartial manner. A Technical Evaluation Committee comprised of program staff of the Department will review and evaluate all proposals.

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

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

The Technical Evaluation consists of:

- The Technical Narrative
- The Strategic Management Plans
- The Interview

The technical evaluation is **80% (up to 80 points)** of the final score.

8.4 Cost Evaluation

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

The Cost Proposals will be scored based on a maximum cost score of 20 points. 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 Cost Proposal to the proposals offered at the lowest final cost, using this formula:

$$C = (A/B) * 20\%$$

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 **20% (up to 20 points)** of the final score.

8.5 Composite Score

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

8.6 Interviews

For all bids, and as part of the bid review process the Department will perform interviews. The purpose of the interview is to allow the evaluators to validate the Bidder's experience and qualifications, including the Bidder's understanding of the RFP scope, their roles & responsibilities, and their overall approach to fulfill the RFP requirements. Included in the interview, each bidder will be asked to present on one of the Strategic Management Plans, selected by the Department, and share its value, and successes it brought to the client.

Each bidder will be notified of the date, time, agenda, the selected Strategic Management Plan, and contact and conference room information of their interview, which will be held no earlier than the Interview date designated in **Section 1.0** (Calendar of Events) at the 431 Broadway, Menands, NY office. The interview should confirm the Bidder's ability to provide the required services. It is highly desirable that the Bidder's anticipated TAS Manager/Account Manager, the Program and Project Manager, and Enterprise Architect Manager (Key Staff) are able to be present and participate in the interview. No more than 3 staff from the Bidder's company shall participate in the interview, and each Bidder shall limit their total number of staff attendees to 6 staff. **No new material will be permitted to be introduced during the interview; however, bidders will be expected to elaborate on the one selected Strategic Management plan supplied in their proposal.**

The Department prefers the interviews be in-person, however, it reserves the right to accommodate remote/teleconference interviews.

8.7 Reference Checks

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

8.8 Best and Final Offers

NYS Department of Health reserves the right to request best and final offers. In the event the Department exercises this right, all bidders that submitted a proposal that are susceptible to award will be asked to provide a best and final

offer. Bidders will be informed that should they choose not to submit a best and final offer, the offer submitted with their proposal will be construed as their best and final offer.

8.9 Award Recommendation

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

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

ATTACHMENTS

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

1. [Bidder's Disclosure of Prior Non-Responsibility Determination](#)
2. [No-Bid Form](#)
3. [Vendor Responsibility Attestation](#)
4. [Vendor Assurance of No Conflict of Interest or Detrimental Effect](#)
5. [Guide to New York State DOH M/WBE Required Forms & Forms](#)
6. [Encouraging Use of New York Businesses in Contract Performance](#)
7. [Bidder's Certified Statements](#)
8. [DOH Agreement](#) (Standard Contract)
9. [References](#)
10. [Diversity Practices Questionnaire](#)
11. [Executive Order 177 Prohibiting Contracts with Entities that Support Discrimination](#)
12. [Executive Order 016 Prohibiting Contracts with Entities Conducting Business in Russia](#)
13. State Finance Law Consultant Disclosure Provision - Forms A & B
 - A. Contractor's Planned Employment: <http://www.osc.state.ny.us/agencies/forms/ac3271s.doc>
 - B. Contractor's Annual Employment Report: <http://www.osc.state.ny.us/agencies/forms/ac3272s.doc>
14. Sales and Compensating Use Tax Certification
 - Form ST-220-CA for NYS Department of Health
http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf
 - Form ST-220-TD for NYS Department of Taxation and Finance
http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf

The following attachments are included in this RFP and are available on the DOH Grants/Funding Opportunities website.

- A. Proposal Document Checklist
- B. TAS Cost Proposal
- C. TAS Example Deliverable Expectations Document
- D. TAS Staffing Cover Page
 - D.1 TAS Staffing Table Key Staff Responsibility and Experience Descriptions
 - D.2 TAS Staffing Table Supplemental Staff Responsibility and Experience Descriptions
- E. TAS Supplemental Staff SOW Template
- F. TAS Minimum Bidder Qualifications
- G. TAS Proposal Requirements Matrix
- H. TAS Key Staff Proposal Form
- I. TAS Acronyms and Glossary of Terms

- J. *Intentional Blank Page*
- K. TAS Supplemental Staff Submission Forms
- L. TAS Facility Requirements and Specifications
- M. TAS Division of Operations and Systems Security Requirements
- N. TAS Service Level Agreement (SLAs)
- O. TAS Strategic Management Plans
- P. Strategic Management Plans Proposal Form

ATTACHMENT A

Proposal Document Checklist

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

RFP# 20179 – Medicaid Technical Advisory Services		
FOR THE ADMINISTRATIVE PROPOSAL		
RFP §	SUBMISSION	INCLUDED
§ 6.1.A	Attachment 1 – Bidder’s Disclosure of Prior Non-Responsibility Determinations, completed and signed.	<input type="checkbox"/>
§ 6.1.B	Freedom of Information Law – Proposal Redactions (If Applicable)	<input type="checkbox"/>
§ 6.1.C	Attachment 3- Vendor Responsibility Attestation	<input type="checkbox"/>
§ 6.1.D	Attachment 4 - Vendor Assurance of No Conflict of Interest or Detrimental Effect	<input type="checkbox"/>
§ 6.1.E	M/WBE Participation Requirements:	<input type="checkbox"/>
	Attachment 5 Form 1	<input type="checkbox"/>
	Attachment 5 Form 2 (If Applicable)	<input type="checkbox"/>
§ 6.1.G	Attachment 6- Encouraging Use of New York Businesses	<input type="checkbox"/>
§ 6.1.F	Attachment 7 - Bidder’s Certified Statements, completed & signed.	<input type="checkbox"/>
§ 6.1.H	Attachment 9 – References	<input type="checkbox"/>
§ 6.1.I	Attachment 10 - Diversity Practices Questionnaire	<input type="checkbox"/>
§ 6.1.J	Attachment 11 - Executive Order 177 Prohibiting Contracts with Entities that Support Discrimination	<input type="checkbox"/>
§ 6.1.K	Attachment 12 - Executive Order 16 Prohibiting Contracting with Entities Conducting Business Operations in Russia	<input type="checkbox"/>
§ 6.1.L	<u>State Finance Law Consultant Disclosure Provision - Forms A & B</u>	<input type="checkbox"/>
	A. Contractor’s Planned Employment	<input type="checkbox"/>
	B. Contractor’s Annual Employment Report	<input type="checkbox"/>
§ 6.1.M	<u>Sales and Compensating Use Tax Certification:</u>	<input type="checkbox"/>
	Form ST-220-CA for NYS Department of Health	<input type="checkbox"/>
	Form ST-220-TD for NYS Department of Taxation and Finance	<input type="checkbox"/>

FOR THE TECHNICAL PROPOSAL		
RFP §	SUBMISSION	INCLUDED
§ 6.2.A	Title Page	<input type="checkbox"/>
§ 6.2.B	Table of Contents	<input type="checkbox"/>
§ 6.2.C	Executive Summary	<input type="checkbox"/>
§ 6.2.D	Attachment F - TAS Minimum Bidder Qualifications.docx	<input type="checkbox"/>
§ 6.2.E	Technical Proposal Narrative	<input type="checkbox"/>
§ 6.2.E1	Scope Overview	<input type="checkbox"/>
§ 6.2.E2	Enterprise Architecture	<input type="checkbox"/>
§ 6.2.E3	Program and Project Management	<input type="checkbox"/>
§ 6.2.E4	Program Contract Management	<input type="checkbox"/>
§ 6.2.E5	People and Change	<input type="checkbox"/>
§ 6.2.E6	Staffing	<input type="checkbox"/>
§ 6.2.E6	Attachment H – TAS Key Staff Proposal Form	<input type="checkbox"/>
§ 6.2.E7	MES Program and TAS Contract Management	<input type="checkbox"/>
§ 6.2.E8	Reporting	<input type="checkbox"/>
§ 6.2.E9	Information Technology and Facilities	<input type="checkbox"/>
§ 6.2.E10	Security	<input type="checkbox"/>
§ 6.2.E11	Transition	<input type="checkbox"/>
§ 6.2.E	Attachment G – RFP TAS Proposal Requirements Matrix	<input type="checkbox"/>
§ 6.2.F	Separate Technical Proposal Submission Items	<input type="checkbox"/>
§ 6.2.F1	Attachment P – Strategic Management Plans Proposal Form	<input type="checkbox"/>
FOR THE COST PROPOSAL REQUIREMENT		
RFP §	REQUIREMENT	INCLUDED
§ 6.3	Attachment B- Cost Proposal	<input type="checkbox"/>

ATTACHMENT B

Cost Proposal

RFP #20179

Offerors must use the Microsoft Excel spreadsheet titled “**Attachment B – Cost Proposal.xls**” as described in section 6.3. Deviations from this format are not permitted. Offerors should submit the Excel spreadsheet in electronic form in accordance with Section 7, Proposal Submission. Failure to submit in this required format may result in disqualification.

The cost proposal template within **Attachment B – Cost Proposal** includes Pricing Schedule A, B, C, D E, and F. The offeror should complete the pay rates and mark up percentage. The Bill Rate will be calculated based on the entries for each labor category, for each year of the contract by entering them into **Pricing Schedule D – Bidders Staffing Rates (tab)**, as described in section 6.3. The offeror should not enter any information into, or modify the Pricing Schedules A, B, and C. The offeror should complete Pricing Schedule E, Bidder’s Additional Operations, and Pricing Schedule F, Bidder’s Strat. Mgmt. Plans.