



**New York State  
Education Department**

**Request for Information (RFI)**

*for an*

**Electronic Student Record Exchange System**

May 2011

**New York State Education Department  
89 Washington Avenue, Room  
Albany, NY 12234**

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# **NEW YORK STATE EDUCATION DEPARTMENT**

## **Electronic Record Exchange System**

### **Request for Information**

The New York State Education Department (NYSED) hereby issues this “Request for Information” (RFI) to determine system capabilities with respect to the NYSED’s Electronic Record Exchange System needs.

The intent of this RFI is to explore the spectrum of existing solutions and capabilities which currently exist. This process is part of the information-gathering phase of our project. We may use the information garnered from the RFI process to enhance a future procurement(s).

Specifically, this RFI seeks to:

1. Identify the range and types of services vendors (interested parties) can offer;
2. Facilitate understanding of the available tools, strategies, and practices;
3. Solicit information on successful approaches and best practices;
4. Highlight key approaches likely to deliver early ROI in New York;
5. Ascertain key requirements and issues the State must define and/or consider when developing an approach;
6. Determine the benefits the State can realistically expect to achieve in both the short- and long-term; and,
7. Increase understanding of the compensation mechanisms used by companies that offer such services.

This RFI is exploratory in nature. It is being conducted to solicit information about industry best practices, ideas, tools, and recommendations from interested parties regarding the electronic exchange of student records.

# 1. INTRODUCTION

## *1.1 ORGANIZATION BACKGROUND*

The New York State Education Department (NYSED) is responsible for oversight of all educational institutions in the state, for operating certain educational and cultural institutions, for certifying teachers, and for registering and licensing practitioners of more than 40 professions. NYSED's supervisory activities include chartering all educational institutions in the state, including schools, libraries, museums, and historical societies; accrediting college and university programs; allocating state and federal financial aid to schools; and providing and coordinating vocational rehabilitation services.

A Board of Regents, consisting of 17 members elected by the state legislature, governs NYSED. The Board oversees the University of the State of New York (USNY), consisting of all public and private schools, colleges and universities, chartered libraries, museums, historical societies, and other educational institutions in the state. NYSED's chief executive officer is the Commissioner of Education and President of the University, who is appointed by the Board of Regents.

NYSED is composed of these major organizational areas:

- Office of P-12 Education
- Office of Higher Education
- Office of Cultural Education
- Office of Counsel
- Office of State Review
- Office of Professions
- Adult Career and Continuing Education Services
- Office of Operations and Management Services

The Office of P-12 Education has primary responsibility within NYSED for measuring student performance and implementing accountability measures in schools. This Office plays a central role in the collection, management, and reporting of educational data. The P-12 website (<http://www.p12.nysed.gov/offices.html>) contains additional information on the programs, services, and organization of that office, including information about current educational data collection and reporting.

Public school districts and charter schools are known as Local Educational Agencies (LEAs) in New York State. These LEAs are responsible for administering and operating the individual public schools within a district.

Below are key facts about the enrollment and entities for P-12 and Higher Education in New York:

- New York P-12 Education Facts
  - 697 school districts
  - 62 counties
  - 3.1M total students
    - 2.7M students enrolled in public, K-12 institutions

- 0.4M students enrolled in non-public, K-12 institutions
- New York Higher Education Facts
  - 270 total colleges
  - 875K total student enrollment
  - The State University of New York (SUNY)
    - 64 colleges
    - 228K student enrollment
  - The City University of New York (CUNY)
    - 19 colleges
    - 160K student enrollment
  - Independent colleges
    - 148 colleges
    - 460K student enrollment
  - Proprietary colleges
    - 39 colleges
    - 25K student enrollment

A complete description of the University of the State of New York and the State Education Department can be found at <http://usny.nysed.gov/about/>.

## ***1.2 PROJECT CONTEXT***

NYSED is creating an Instructional Reporting and Improvement System (IRIS), as described in its Race to the Top grant application, which shall include instructional reporting, collaboration, and platform features (referred to as the Educational Data Portal or EDP). The EDP will serve as a single platform providing access to educational data and applications for use by LEAs, as well as others across the State of New York and in other states. It will enable diverse stakeholders — including educators, parents, policy leaders, and researchers — to access and analyze educational data, make decisions, and take actions to improve student outcomes. The IRIS will also enable third party developers to create and distribute new software applications for use across the state.

The EDP Software (including the platform, data models, data marts, and initial applications) will be non-proprietary, feature a software development kit, and potentially be maintained by NYSED or its assignee/contractor after its completion. The EDP will include an open Application Programming Interface (API) that will enable third-party developers to create and distribute new software applications for stakeholder use.

Using the EDP, teachers and school administrators will be able to view individual student profiles, create student groupings, and filter by certain student attributes. Aggregate views of student information will also be available and will be viewable by others, in addition to teachers and administrators. Additionally, where appropriate, parents will be able to view the profile for their child.

All information available through the EDP will be provided through an access and authentication method designed to protect the privacy of individual student records.

## ***1.3 ELECTRONIC RECORD EXCHANGE SYSTEM***

It is expected that an Electronic Record Exchange System will be implemented as an application integrated within the above-mentioned Educational Data Portal.

The objectives of implementing an Electronic Record Exchange System include:

- Electronic student record exchange will provide a current and standardized vehicle to communicate specific elements of students' records to and among schools and universities. In accordance with the Regents' P-20 Data System requirements, electronic student record exchange will facilitate student mobility and ensure student record integrity.
- Electronic student record exchange will also allow schools and colleges to operate in a more cost effective manner with regard to exchange of student records (e.g., eliminate paper, more timely decision making).
- Electronic student record exchange will integrate with the EDP.

#### ***1.4 RFI CONTACT INFORMATION***

Interested Entities are encouraged to submit a written response, by July 15, 2011, including a cover letter on company letterhead, characterizing their interest and background. Information pertaining to ideas, concepts, design issues, and practical knowledge gained from relevant Electronic Record Exchange System experiences is being sought. Additionally, responses to the questions and inquiries listed in Section 2 are requested.

**Note: This IS NOT a Request for Proposals.** It is an invitation to provide NYSED with information regarding current technologies and viable approaches to implementing an Electronic Record Exchange System. Additionally, responses will be used to gauge the level of interest in the Electronic Record Exchange System Project. Information obtained may be used to develop a needs requirement upon which a future procurement might be based. If further discussion is required, or should questions arise, please contact the NYSED contact person listed below. Questions may be asked through July 1, 2011. A summary of all questions and answers will be posted to <http://usny.nysed.gov/rttt/docs/rfi/erecord-qa.html> by July 8, 2011.

Participation in this RFI is voluntary, and NYSED will not pay for the preparation of any information submitted by a respondent or for NYSED's use of that information. Vendors may respond to some or all of the information requested in Section 2.

Vendors are advised that if any part of their response to this RFI contains trade secrets or is submitted to NYSED by a commercial enterprise or derived from information obtained from a commercial enterprise and which, if disclosed, would cause substantial injury to the competitive position of the subject enterprise, then vendors should identify such in their response.

#### **Mail or E-mail Responses To:**

*US Mail:*

New York State Education Department  
Attn: Kathryn McCall  
Room 865 EBA  
89 Washington Avenue, Room  
Albany, NY 12234  
Attention: Electronic Record Exchange RFI

E-mail:

[NYSEDEXCHANG@mail.nysed.gov](mailto:NYSEDEXCHANG@mail.nysed.gov)

Respondents who mail their responses are requested to provide an electronic copy in MS Word or PDF Format. These formats are also required for E-mail submissions.

**NYSED Contact Person:**

All questions regarding the Electronic Record Exchange System RFI must be submitted in writing, preferably via e-mail, to:

Kathryn McCall  
New York State Education Department  
89 Washington Avenue,  
Albany, NY 12234

E-mail: [NYSEDEXCHANG@mail.nysed.gov](mailto:NYSEDEXCHANG@mail.nysed.gov)

NYSED may issue announcements amending this RFI in response to vendor questions. SED reserves the right to request additional information from respondents and may be in the form of an oral presentation.

***1.5 ADMINISTRATIVE GUIDANCE FOR RESPONDENTS***

RFI schedule:

June 17, 2011	RFI published
July 1, 2011	Deadline for questions
July 8, 2011	Response to questions issued
July 15, 2011	Deadline for receipt of responses
Please Note: Responses received after July 15 <sup>th</sup> , 2011, may not be considered in this evaluation or in subsequent RFP development.	

## **2. RESPONSE REQUIREMENTS**

### ***2.1 RESPONSE OUTLINE AND ORGANIZATION***

NYSED is interested in information in the following areas:

- Vendor contacts
- Vendor experience
- Electronic Record Exchange product information
- Supporting services
- Pricing model

Responses should be organized as follows:

#### **2.1.1 Cover Letter**

The respondent should provide a cover letter (limited to no more than two pages in length) that includes the following corporate information:

- Company Name
- Contact Name
- Title
- Phone #
- E-mail address
- Mailing address
- Fax #

**Note:** Provide additional contact persons as needed.

#### **2.1.2 Company Experience**

The vendor shall summarize its experience in the Electronic Record Exchange Systems field. An indication of the extent and scope of the experience should be provided, including:

- Length of time your company has been providing Electronic Record Exchange Systems
- Prior Electronic Record Exchange Systems design or implementation work you have performed with other educational entities, including the dates of this work
- Contacts in educational entities that you have worked with
- The role of your company in these engagements (e.g., primary or sub-contractor)
- The project phases in which your company participated
- The environments in which the systems were implemented
- Any partnerships or alliances your company has with organizations that would provide benefits to the project

Based on the experience outlined above, vendors should identify the following:

- Lessons learned from past implementations regarding analysis, design, development, testing, deployment, and training tasks
- General implementation time frames from previous efforts

### **2.1.3 Product Information**

Company literature and brochures describing Electronic Record Exchange System products may be included as part of the response. While additional information links are not disallowed, NYSED prefers not to receive links wherein pertinent information is available but requires extensive searching.

Product information should include:

- Overview of how the product works (including a system overview diagram)
- Record types the product supports
- EDI standards the product supports
- How the product protects student records and complies with relevant privacy laws and regulations (e.g., FERPA)
- Whether the product supports the exchange of records across jurisdictions (e.g., from state to state)
- Whether the product has the ability to integrate with existing data systems or whether the system functions stand-alone (If the product integrates, what are the requirements for integration?)
- Infrastructure requirements (e.g., hardware and software)
- Current version of the product and whether major releases are currently planned
- Whether the product is proprietary or open source
- Whether the product is typically hosted by the vendor (or third party) or installed in-house

### **2.1.4 Supporting Services**

Include information about how you typically provide support during and after implementation. Include information on the following:

- Hosting
- Service Level Agreements
- Training
- Knowledge transfer
- Help Desk Services
- Software upgrades and maintenance

Describe options on how independent a customer is after implementation:

- What aspects of support of the product are expected to be covered by the user of your product's functional and IT staff versus what is expected to be handled by your company?
- What are the business and IT resources required in our organization to support the product after implementation?

### **2.1.5 Pricing Model**

Without indicating specific pricing, please include information about your pricing model for the product:

- Do you charge a software licensing fee?
- Do you charge per transaction, per user, per server, per site?
- Do you negotiate statewide agreements with state educational authorities?
- Do you offer a perpetual license agreement?
- How are ongoing maintenance charges assessed?