

**Request for proposal (RFP)**

**Version 1.0 FINAL** (7 September 2012)

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| **Title of RFP Project** |  |
| **Name of Organisation responding to this RFP** | **Student Management Software Solutions Limited** |
| **Open Polytechnic Reference** |  |

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| Section A Introduction - Overview and RFP Background |

**Overview**

1. **Purpose of request for proposal**

This request for proposal (‘RFP’) is issued by Open Polytechnic of New Zealand (“Open Polytechnic”). Open Polytechnic invites proposals for the provision of a Student Management System that meets or exceeds the requirements as set out in Schedule D.

1. **Background**
   1. Open Polytechnic is New Zealand’s specialist national provider of open and distance learning, serving around 40,000 part-time students across a wide variety of qualifications each year. The majority of students are adult learners combining work and study, making Open Polytechnic one of New Zealand’s major educators of people in the workforce. Open Polytechnic’s student base reflects largely the national population demographics by age distribution and location. As a rule all learning, support and communications are managed from a distance with no face-to-face contact.
   2. The majority of Open Polytechnic’s 450 staff is located at its offices in Waiwhetu, Lower Hutt.  The organisation is also supported by several hundred contract markers (Adjunct Faculty), at various locations around New Zealand.
   3. Open Polytechnic plans to engage with a Student Management System (SMS) provider who will deliver a thoroughly reliable and easy to use SMS.

The SMS will play a key role in ensuring that we can meet our current and future market demands, as well as assisting us to uphold the high level of consistent customer support which we are proud of.

The initial focus will be on an easy to use and highly adaptable SMS which complies with all relevant government requirements and guidelines. Specific goals of the implementation are:

* A flexible system able to evolve to meet the changing needs of the business, including integrating with other systems.
* Seamless interfaces and views for different constituencies.
* Comprehensive and accurate data migration.
* Ability to support all student administration requirements.
* Availability of fully functional SMS modules for immediate configuration and use.
* Simple and flexible ad hoc reporting, as well as trend reporting and analysis.
* An SMS fully compliant with all the relevant legislation requirements.
  1. This RFP details Open Polytechnic’s requirements for suppliers who wish to submit a proposal that meets Open Polytechnic’s requirement for the specified products and services in the most cost-effective, efficient and timely fashion.

1. **Structure**

3.1 This RFP consists of the following:

This provides background information and an overview of the process to be followed.

This section sets the RFP process and evaluation process and criteria.

This section details the specifications and/or technical and operational requirements of Open Polytechnic with respect to the RFP. Suppliers who wish to be considered must have the capability to meet these requirements.

Each supplier must complete and submit to Open Polytechnic their Response along with an accurate costing (based on the information provided) in order for their Proposal to be considered. The Part One of Section F must also be completed and signed.

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| Section B Request for Proposal Process |

1. **Open Polytechnic Authorised Representative**

Any queries regarding this document or your proposed RFP response should be addressed by email to the Open Polytechnic’s Authorised Representative:

Open Polytechnic of New Zealand

Email: sms\_rfp@openpolytechnic.ac.nz

* A confirmation of receipt will be provided for each email received.
* Subject to the Request for Proposal Conditions in Section C, Open Polytechnic will not be bound by any other statement, written or verbal made by any other person other than the authorised representative.

1. **Open Polytechnic Information**

Except to the extent required by law, Open Polytechnic may withhold any information from any person for any reason, and will not be responsible to any person for any information provided under or in connection with this RFP.

1. **Confidentiality of Supplier Information**

All RFP responses received by Open Polytechnic shall be retained by Open Polytechnic and shall be treated as confidential at all times. Open Polytechnic is however subject to the Official Information Act 1982. Respondents should note that information provided by respondents may be required to be disclosed under the Act.

Open Polytechnic will also deal with any personal information about respondents, their employees, agents and contractors in accordance with the provisions of the Privacy Act 1993.

1. **Closing Date and Time**

Respondents are requested to provide

1. eight copies of the completed Request for Proposal Form inclusive of Part One of Section F **to be signed by an authorised representative of the Respondent** and
2. an electronic version of the RFP document, in both of the following formats
   1. PDF
   2. MS Word 2010 (or similar i.e. ODF)

These should be delivered, together with any supporting documentation and a covering letter to:

Student Management System (SMS) solution RFP

Main Reception

3 Cleary Street

Lower Hutt 5040

New Zealand

Attention: Michal Solc

* All RFP documents must arrive at Open Polytechnic offices no later than 12pm (midday), Friday, 19th October 2012, NZ time.
* Any corrections or amendments to any submitted proposals must be provided in writing and received by Open Polytechnic prior to the closing date.
* RFP responses will not be accepted if submitted via telephone, facsimile or e-mail.
* Respondents should ensure that their RFP is delivered before the closing date and time. In general, Open Polytechnic’s policy is not to evaluate late proposals. However Open Polytechnic reserves the right to accept and evaluate, or decline and not evaluate late proposals or proposals that do not conform to the terms of this RFP document, at its absolute discretion.

1. **Validity Period**

Once submitted, each Proposal remains open for acceptance by Open Polytechnic and is irrevocable and may not be withdrawn or modified, except with the written consent of Open Polytechnic, until the expiry of at least 6 months after submission closing time.

1. **Deviations from Proposal Form**

Any deviations from Open Polytechnic’s Request for Proposal Form must be clearly marked and a written explanation given for any deviation. Open Polytechnic reserves the right to reject such Proposals should the deviation(s) prove unacceptable in the opinion of Open Polytechnic.

1. **Changes to the RFP by the Polytechnic**

Open Polytechnic reserves the unrestricted right, at any time, to make any changes to the RFP and to the RFP process. Where a significant change affects either the scope of work or the RFP process, Open Polytechnic will either notify the person or organisation initially to advise of the RFP or, where the RFP was advised via GETS, through the GETS website.

Following notification, the Request for Proposal Form is deemed changed as specified by Open Polytechnic. If a Proposal has been submitted prior to the change, the Proposal may be withdrawn and modified to take account of the change and resubmitted by the closing time or any new time set by Open Polytechnic at its discretion.

1. **Evaluation Process**

The Open Polytechnic Evaluation Panel for this RFP will consider all conforming Proposals. Once Proposal evaluations are completed, negotiations with a preferred supplier may be undertaken.

Open Polytechnic will evaluate how each Proposal meets the requirements of this RFP. Evaluation will be undertaken in accordance with a number of key criteria identified by Open Polytechnic (see the next section). Open Polytechnic may contact suppliers during the period of evaluation seeking clarification or additional information relating to the Proposals. Selected suppliers may be invited to provide a formal presentation to Open Polytechnic supporting their Proposal. Open Polytechnic may require this presentation to address specific aspects of the supplier’s Proposal. Based on the Proposal received, evaluations undertaken, reference checks, and presentations, Open Polytechnic may select a preferred supplier. Open Polytechnic and the preferred supplier may enter into negotiations to refine the solution or project details, and agree on the terms and conditions of the contract.

Should Open Polytechnic advise you that you are the Preferred Respondent such advice does not:

* Constitute an acceptance by Open Polytechnic or create a contract
* Constitute an award of the contract to you
* Imply or create an obligation on Open Polytechnic to enter negotiations with you or award a contract to you
* Open Polytechnic can discontinue negotiations at any time.

Proposals are submitted on the basis that no binding legal relations with Open Polytechnic are created unless, and until, a contract between the parties is executed.

1. **Evaluation Criteria**

Open Polytechnic may evaluate Proposals based upon but not limited to the following criteria. Suppliers should note that these are not listed in any particular order and may not be a complete list of evaluation criteria. Furthermore they will not necessarily be accorded equal weight.

* ***Quality of response*** *– an assessment of the completeness, quality and robustness of the response provided by the respondent and the response to any subsequent requests by Open Polytechnic for additional information (including any information provided in a Respondent presentation or obtained by open Polytechnic through a site visit, if required).*
* ***Technical and operational*** *– solution meets needs, feasibility, fit with current systems, use of the technology, ease of implementation, timing of delivery, quality of reports, methodology, compliance with specifications, and degree of integration of the product.*
* ***Security*** *– the extent to which Open Polytechnic is satisfied that the respondent will meet all security requirements re storage of data etc*
* ***Potential as a solution partner*** *– demonstrable your methodology for delivery, demonstrate readiness to develop a partner relationship with internal OP teams.*
* ***Value for money*** *– the combined value of the likely benefits, total cost of ownership and a subjective assessment of risk as determined by the Open Polytechnic.*
* ***Commercial*** *- quality of goods, warranties, backup service and support, supplier history and performance, commitment to client service, flexibility, and expertise and experience of staff involved with the project.*
* ***Contractual*** *– willingness to meet open Polytechnic’s contractual requirements.*
* ***Conformity*** *– to RFP documents.*
* ***Innovation*** *– the degree of innovation.*
* ***Principles*** *– adherence to Open Polytechnic Principles.*

1. **Lowest Price not a Determinant**

While the lowest price is a significant factor to Open Polytechnic it is essential that other criteria are also met. Open Polytechnic may use any criteria, and place any weight on criteria it chooses. Open Polytechnic shall not be bound to accept any Proposal.

1. **Participation**

Open Polytechnic reserves the right at any time and for any reason to exclude, liaise with, select, negotiate with, and/or enter into agreement with any supplier at any time in respect of this project.

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| Section C Request for Proposal Conditions |

1. **Rights Reserved by Open Polytechnic**

To the extent allowed by law, Open Polytechnic reserves the unrestricted rights to at any time:

* Change any date in this RFP process (e.g., extend or shorten timeframes)
* Apply, or change, any policy or criteria relating to participation in this RFP process or the evaluation of Proposals
* Exclude any person from this RFP process (whether on the grounds of capability, compliance with specifications, price, government policy or direction, security or operational requirements, or otherwise
* Restrict or deny supply of or access to any Polytechnic site or property or any of the Polytechnic’s personnel, information or other property or to any person
* Reject or not consider any non-compliant Proposal
* Liaise, negotiate or contract with any respondent or any other person at any time without disclosing this to, or involving or doing the same with, any other respondent or person whether before, during or after this RFP process)
* Have any of Open Polytechnic’s representatives at any reasonable time inspect any property, or interview any personnel or any respondent, or any other person as part of its evaluation process
* Delete any goods or services from this RFP process
* Change any rule of this RFP process by notice
* Suspend or cancel this RFP or any process arising from it at any time and for any reason by notice
* Not accept the lowest or any Proposal, or not enter into any contract
* Enter into one or more contracts in respect of any part of their requirements
* Not give any reason to any person for the rejection, failure, or otherwise to any respondent or Proposal, or any suspension or cancellation of their RFP process.

1. **Errors and omissions**

Open Polytechnic is under no obligation to check any proposal for errors. Acceptance of a proposal that contains errors will not invalidate any agreement based on that proposal.

If Open Polytechnic discovers errors and/or omissions in the pricing submitted in the Respondent’s proposal prior to entering into an agreement. Open Polytechnic may notify the Respondent as soon as practicable and may require the Respondent to either confirm or withdraw its proposal. Unless the Respondent confirms its proposal within one working day of having received notice the proposal will be treated as if it had been withdrawn.

1. **Open Polytechnic Response**

Open Polytechnic will advise respondents of their inclusion in any subsequent shortlist (if Open Polytechnic decides to shortlist respondents). Open Polytechnic anticipates such advice will be issued on or before Friday, 2 November 2012.

This date may be subject to extension at Open Polytechnic’s discretion.

1. **Return of Proposal**

Respondents are advised that Proposals will not be returned.

1. **Subject to Contract**

Respondents are advised:

* 1. Proposals are submitted on the basis that no binding legal relations with Open Polytechnic are created unless and until a contract between Open Polytechnic and the successful respondent is executed by the parties. This clause applies despite any oral or written advice to the Service Provider that a Proposal is successful or has been, or will be, accepted;
  2. Open Polytechnic reserves the right to negotiate with other Service Providers in the event that a contract cannot be successfully negotiated between Open Polytechnic and the preferred Service Provider;
  3. This RFP, and any provision contained in it, does not give rise to a separate contract between Open Polytechnic and any Service Provider. Furthermore, no legal or other obligations shall arise between the Service Provider and Open Polytechnic in relation to the conduct or outcome of the Proposal process;
  4. Open Polytechnic does not warrant or guarantee the accuracy of any of the information contained in the RFP. Nothing in this RFP or in the relationship of Open Polytechnic and any Service Provider imposes any duty of care on Open Polytechnic and any such duty of care is expressly excluded.

1. **Supplier Contract**
   1. Subject to 20.2 below as part of the response the respondents must provide a draft written agreement that they consider applicable for the provision of Student Management System to Open Polytechnic.
   2. The Open Polytechnic will release draft contract terms and conditions to potential respondents on or about the 28 September 2012. Respondents are required to respond to the draft contract terms and conditions as follows:
      1. Respondents must confirm whether they accept the draft contract terms and conditions provided by the Open Polytechnic and confirm that the draft written agreement they have provided under clause 20.1 above is consistent with the draft contract terms and conditions provided by the Open Polytechnic to Respondents.
      2. If the Respondent thinks it will be unable to accept any of the contract terms and conditions provided by the Open Polytechnic it must state its reasons it is unable to do so and provide alternative wording by way of marked up changes. General objections, statements of positions or attempts to defer a response [such as “This will require further discussion”] are not acceptable.
      3. The extent of any changes and/or non acceptance of terms and conditions in the draft contract terms and conditions provided to the Respondent by the Open Polytechnic will be a factor taken into account when evaluating proposals;
      4. No schedules for the draft contract terms and conditions provided to the Respondent under clause 20.2 above have been completed by the Open Polytechnic and it is expected that the schedules in any contract negotiated with the successful Respondent will be completed using information provided in the RFP, information provided in the successful Respondent’s proposal including their proposed written agreement, by the Open Polytechnic and during contract negotiations.
   3. Open Polytechnic reserves the right not to use the written agreement submitted by the successful supplier and reserves the right at its discretion to propose its own form of contract for the provision of the required goods and services or to negotiate ~~a~~ variations to the written agreement proposed by the supplier to make it acceptable to the Open Polytechnic.
2. **RFP Complete and Accurate**

All information provided by suppliers and their responses is warranted by the supplier to be complete and accurate in all material respects. The supplier also warrants to Open Polytechnic that the provision of information to Open Polytechnic and the use of it by Open Polytechnic for the evaluation of RFP responses and for the negotiation of any resulting contractual agreement will not breach any third party intellectual property rights. Suppliers will be responsible for verifying the accuracy and adequacy of information supplied by or on behalf of Open Polytechnic.

1. **Open Polytechnic Disclaimer of Liability**

Whilst Open Polytechnic tries to produce accurate information, it will not be liable whether in contract or tort, including negligence or otherwise to any respondent or any other person in respect of any direct or indirect or consequential loss arising out of the information contained in this RFP and the RFP process itself.

1. **Confidentiality**

This RFP and the information supplied by Open Polytechnic (either by itself or through its consultants or advisors) in connection with this RFP are confidential. You must not release or disclose any of the information to any person (other than your employees or advisors) without the prior written consent of Open Polytechnic. The respondent acknowledges that Open Polytechnic is subject to the requirements imposed on Open Polytechnic by the Official Information Act and the Privacy Act.

1. **Open Polytechnic Not Liable for Costs**

Open Polytechnic will not be liable (in contract or tort, including negligence or otherwise) for any direct or indirect damage, loss or cost (including legal and lawyer/client costs) to any respondent or any other person in respect to this RFP process.

1. **Open Polytechnic’s Security**

Every respondent and their representatives must comply with the security and operational requirements of Open Polytechnic where they have access to any of Open Polytechnic’s property or information.

1. **No Undisclosed Benefits**

Respondents must not directly or indirectly provide any form of inducement or reward to any representative of Open Polytechnic in respect of this RFP.

1. **Conflict of Interest**

Respondents should disclose any conflict of interest in relation to the matters covered by this RFP.

1. **New Zealand Currency**

All amounts are to be in New Zealand Dollars unless specified otherwise in each case.

1. **New Zealand Time**

New Zealand time and dates apply to this RFP.

1. **New Zealand Law**

New Zealand law governs and New Zealand Courts have exclusive jurisdiction.

1. **Due Diligence**

Open Polytechnic is authorised to conduct and undertake the necessary steps to assess the proposal, the accuracy of information provided, the functionality of the product proposed and the Respondent’s financial stability, operational capability and technical capability by making inquiries or investigations of any organisation or person Open Polytechnic reasonably considers appropriate or desirable, but is under no obligation to do so. This may include solution refinement activities such as proof of concept or prototyping to assess Respondent’s capability. Each party will be responsible for their own costs incurred during such inquiries or investigations.

1. **Contract completion - compensation for delayed delivery of services**

It is imperative that the product is completed and brought into the production environment on time and to required quality standards.  It is estimated that delays to the product delivery will result in financial loss to Open Polytechnic.  As such we require providers to outline how they will manage any delays and how they will ensure quality. Open Polytechnic requires a provider who proactively manages quality assurance. In particular, deliverables provided should meet quality assurance requirements including being “suitable for its intended purpose”. Providers should also incorporate in their proposed Contract  a payment clause that reserves for Open Polytechnic the right to withhold payment or make part payment where the Services have not been completed or not completed to the required standard. Furthermore the payment clause should provide for Open Polytechnic to make its final payment under the Contract upon and subject to the satisfactory completion of the Services.

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| Section D Specifications – Open Polytechnic Requirements |

The specifications have been detailed in Section F, Part Seven so that you can respond as part of the Proposal form.

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| Section E Request for Proposal Timetable |

*All times are NZ standard time.*

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| **Activity** | **Date** |
| Issue RFP to vendors selected through the RFI process | Friday, 7 September 2012 |
| Vendor Open Homes  (Vendor briefings) | Monday, 17 September 2012  to Friday 5 October 2012 |
| RFP Questions Close | Monday, 15 October 2012 |
| RFP Closes | Friday, 19 October 2012, midday |
| RFP Evaluation & Short listing | Friday, 2 November 2012 |
| Presentations requested (if required) | Friday, 2 November 2012 |
| Vendor Presentations | Monday, 19 November 2012  to Friday 30 November 2012 |
| Final Selection & Suppliers notified of outcome | Friday, 14 December 2012 |
| Contract negotiations, signing and implementation commences | TBC |
| ***Important Note***  ***The above dates are indicative only and Open Polytechnic reserves the right to change any of the dates above at its sole discretion.*** | |

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| Section F Request for Proposal Form |

## Instructions for Completing Request for Proposal Form:

You are required to answer each question in this section. You must use the sections in your response and respond in the same sequence. Where a question is not relevant to your RFP response you must insert “N/A” or “Not Applicable” against the respective question number.

If the answer to a question is in an attachment then you must indicate this by the respective question number and identify the attachment as well.

***Note:*** *Please expand and copy response blocks to accommodate your response.*

## Principles

We are looking toward the future, and wish to make use of the best possible solutions for individual business areas, all of which will work seamlessly together in a flexible and online manner. In order to achieve this, these are the principles we will apply in our thinking throughout the RFP evaluation process:

* The solution should take advantage of cross-sector opportunities.
* The solution should enable an exceptional student experience for our engaged achievers.
* The Core SMS Product should be the minimum necessary to meet requirements.
* The Core SMS Product will integrate easily with other systems.
* The supplier of the SMS will have knowledge and experience in the New Zealand tertiary domain.
* Existing solutions are preferable to customised development.
* Ongoing resource and maintenance costs of this product will be transparent and will represent value for money.
* The proposal should recognise Open Polytechnic’s relative risk aversion to implementation cost uncertainty.
* The solution will be easily adaptable.
* All legislative changes will be the responsibility of the vendor.

## Part One – Respondent details

1. **Respondent’s full legal name**

Student Management Software Solutions Limited

1. **Respondent’s trading name** (if any)

SMSS

1. **Respondent’s contact person**

* Name: Cheryl Horo
* Position: Client Relationship Manager
* Address: Maven House Level 2, 125 Featherston Street, Wellington 6011
* Phone: 04 931 1481
* Fax: 04 931 1470
* Email: cheryl.horo@smss.org.nz
* Mobile: 021 938 100

1. **Respondent’s GST registration No.**

64-840-077

1. **Profile of respondent** 
   1. **Detail of owners/controllers**

* Names: Artena Society; SMSS Ltd
* Country of Residence: New Zealand
* Outline a brief history of the Respondent’s current company structure, relevant historic information and overall goals and aspirations of the company moving forward. (Informational)

Student Management Software Solutions Limited (SMSS) is wholly owned by the Artena Society Limited, a collection of New Zealand tertiary education institutions which have collaborated to develop and maintain a common student management software application. SMSS is a registered company and a registered charity. The purpose of SMSS is to sell (licence), support, develop, and maintain the Artena student management software on behalf of the Artena Society.

Any income, benefit, or advantage is used to advance the purpose of the Artena Society and the Artena student management software.

First implemented in tertiary organisations in 1997, Artena student management software is used by 14 tertiary education institutions throughout New Zealand, and one in Samoa. The original members continue to participate in the system’s development along with the other users. Artena clients include Institutes of Technology and Polytechnics, Private Training Providers, Te Wānanga’s and the National University of Samoa.

SMSS’ goals and aspirations are based on our:

**Vision**: The preferred partner in New Zealand for tertiary student information systems

**Mission**: To help New Zealand Tertiary Education Institutions work smarter

**Values**: Excellence, Integrity, Respect

See Appendix 1 – for SMSS Organisation Chart

**Artena Society**

The Artena Society’s collaborative structure makes it unique in New Zealand, the Society has run as a not-for-profit co-operative since it was registered on 19 July 1995.  The Society was registered as a charity on 7 December 2007.

Purpose of the Artena Society

* To institute and manage the Society on a cooperative basis for the benefit of its members.
* To foster, promote and develop intellectual property for the Society, which is mutually beneficial to the members.
* To own the intellectual property comprising the Artena Software or any other tertiary student management tools or information systems.
* To provide funds to enable the operation of the Society which supports corporate capability and sustainability of any and all business owned by the Society.

To provide other such services that the members of the Society determine to be sympathetic or incidental to the fostering, promoting or developing of tertiary student management tools or information systems.

There are six members of the Artena Society Board. The Chair is the only director of SMSS.

**Board Officers (May 2012)**

* Lawrence Arps (Chair, Whitireia New Zealand)
* Kerry Marshall (Independent Director)
* Richard Handley (Chief Executive Representative, Western Institute of Technology)
* Patrick Jones (Eastern Institute of Technology)
* Patsy Eade (Southern Institute of Technology)
* Blair Keily (Tai Poutini Polytechnic)

**Members of the Artena Society (January 2012)**

* Aoraki Polytechnic
* Bay of Plenty Polytechnic
* Eastern Institute of Technology (EIT)
* Nelson Marlborough Institute of Technology (NMIT)
* Northland Polytechnic (NorthTec)
* Southern Institute of Technology (SIT)
* Tai Poutini Polytechnic (TPP)
* Waiariki Institute of Technology
* Wellington Institute of Technology (WelTec)
* Western Institute of Technology at Taranaki (WITT)
* Whitiereia New Zealand
  1. **Legal status**

*Limited liability company? / Other? (specify)*

SMSS is a registered company and a registered charity.

Artena is a not-for-profit co-operative and registered as a charity.

* 1. **Legal actions**

*Provide details of any potential or pending legal actions against the Respondent for any reason. (Informational)*

N/A

* 1. **Management systems**

*Provide details of any independently certified quality management systems in place, including the date of the last independent audit. (Informational)*

We are currently finalising the SMSS Quality Management System and plan to have this audited externally.

* 1. **Experience in area – major customers and referees** (Open Polytechnic may contact these people)

*Provide information on work that has been undertaken for similar services. At least four referees are required, at least one of them being a distance education organisation.*

You must provide the following information

Referee #1

* Name, business and location of the organisation
* Eastern Institute of Technology, Napier
* Name and contact phone number of a referee at the organisation
* Patrick Jones, 06) 974 8000 Ext 6003
* The period of time the work was undertaken
* February 2011 – October 2011
* Key factors in selecting this referee for this RFP
* EIT and Taiarawhiti Polytechnics were merged in 2012. As both institutes were using Artena SMSS was contracted to merge their databases into one database. The project was carefully managed with regular meetings and delivered on time and within budget.
* See Appendix 2 – Case Study

Referee #2

* Name, business and location of the organisation
* Southern Institute of Technology, Invercargill
* Name and contact phone number of a referee at the organisation
* Robert Tweedie, 03 211 2631 Ext 8711
* The period of time the work was undertaken
* SMSS have worked with SIT closely since they began using Artena in the early 1990’s to ensure they get the best out of the product.
* Key factors in selecting this referee for this RFP  
  SIT provide distance learning.

Referee #3

* Name, business and location of the organisation
* WelTec, Petone, Lower Hutt
* Name and contact phone number of a referee at the organisation
* Jennifer Couper, 04 920 2400 Ext 456
* The period of time the work was undertaken
* We have worked closely with WelTec since they moved to Artena Version 9 in May 2011.
* Key factors in selecting this referee for this RFP
* Version 9 was a major upgrade released to our client base in late 2009. This upgrade proved troublesome for WelTec and post implementation reviews have highlighted important learnings for all parties. As a result of significant planning and input from both organisations over the last 12 months WelTec and SMSS has worked together closely to rectify issues and to deliver new business initiatives.

Referee #4

* Name, business and location of the organisation  
  Whitireia New Zealand, Porirua
* Name and contact phone number of a referee at the organisation  
  Nick Wempe 04 237 3100 Ext 6207
* The period of time the work was undertaken  
  During 2011 and 2012 SMSS worked closely with Whitiriea to implement new capability  
  Key factors in selecting this referee for this RFP
* An interface to TechnologyOne’s FinanceOne, Moodle 2 and Aware Lite a reporting tool. As this new capability was being implemented in different business departments of the institute it was an opportunity for the lead developer to work closely with a range of staff.
  1. **Financial/Legal information**

*The Respondent will arrange for and grant to Open Polytechnic permission to contact each person listed below for the purposes of conducting due diligence.*

Bank: Bank of New Zealand

* + - Contact person: Simon Addy
    - Phone: 474 6710
    - Email: [bnz\_sme@bnz.co.nz](mailto:bnz_sme@bnz.co.nz)

Accountant: Christine Young

* + - Contact person: Christine Young
    - Phone: 04 931 1481
    - Email: christine.young@smss.org.nz

Lawyer: McBride, Davenport, JAMES

* + - Contact person: Guido Ballara
    - Phone: 04 8015427
    - Email: [guido@mdjlaw.co.nz](mailto:guido@mdjlaw.co.nz)
  1. **Insurance**

Types of cover held and $ cover: See Appendix 3

Insurers name(s): Stratus Financial Services, Neil Carter

Expiry date(s) of cover: See Appendix 3

Premiums paid to: All premiums paid in full

1. **Will any sub-contractors be involved?**

*(YES/NO)*

Yes SMSS will partner with contractors and third parties.

For parties Open Polytechnic already has a relationship with, it is SMSS’ preference that Open Polytechnic contract them directly if they are required.

For parties providing potential solutions to work with Artena, SMSS anticipates that Open Polytechnic will enter into direct relationships with them should you wish to use the tools.

If yes, specify for each subcontractor:

* + Who?: Click here to enter text.
  + Value involved?: Click here to enter text.
  + Extent of tasks involved?: Click here to enter text.

*(Attach information separately if there is not enough room here)*

SMSS notes that the value for specific contractors will be able to be defined when detailed business requirements are agreed.

1. Project Manager – SMSS are currently negotiating to appoint an independent Project Manager to lead and manage the SMSS component of the Open Polytechnic project. An estimate has been included in project direct costs.
2. FINNZ is an IT services company based in Wellington, providing a unique blend of business analysis, software development and business-process-outsourcing services to organisations operating in the public sector.   
     
   FINNZ will work with SMSS to deliver business analysis, documentation and training. See Appendix for their commitment to the partnership. An estimate has been included in project direct costs.
3. TechnologyOne’s comprehensive suite of products for finance, supply chain, BI and CRM capability are used by over 50% of Artena clients in some form. SMSS is developing a working partnership with TechnologyOne and is proposing Open Polytechnic considers their product suite to address requirements outside of Artena’s scope. See Appendix for TechnologyOne’s commitment to working with SMSS and Open Polytechnic
4. Cyon Knowledge Computing’s Syllabus Plus Enterprise is used by over 50% of Artena clients for educational timetabling and resource optimisation. SMSS is developing a working partnership with Cyon and is proposing Open Polytechnic considers their product suite to address requirements outside of Artena’s scope.**.** See Appendix for Cyon’s commitment to working with SMSS or Open Polytechnic directly.
5. Catalyst IT for Moodle development at Open Polytechnic if required.

SMSS has had high level discussions with Catalyst IT about working together if needed to ensure a seamless integration for the Open Polytechnic. See Appendix ??

1. Provoke Solutions for Sharepoint/Nintex development at Open Polytechnic if required.

SMSS has had high level discussions with Provoke Solutions about working together if needed to ensure a seamless integration for the Open Polytechnic. See Appendix ??

1. **What does your proposal cover?**

* Open Polytechnic’s entire requirement?(YES/NO)
* If no, specify:
* YES
* Where SMSS is not fully compliant (please refer Part 1 Clause 11 Compliance statement) we will work with the Open Polytechnic to find the best solution that meets your business requirements.

1. **Price quoted to supply deliverables to satisfy the Open Polytechnic requirements**

* Price is “GST inclusive”?: (YES/NO) No
* Price is fixed and firm until: *(date)* Price is indicative until we have had the opportunity to scope business requirements

1. **Warranties (if applicable)**

See Main Agreement Clause 12.

1. **Is any license/permit or other authorisation required?**

YES

SMSS Software Licence and Support Agreement

(Software licences as identified in Appendix x Artena Standard Operating Environment.

Report Portal if needed for reporting.)

1. **Compliance statement**

Deliverables comply with Open Polytechnic’s requirements (as below, attached or advised)?

*(YES/NO)*

SMSS has used the following terminology in responding to the RfP questions:

* **Complies** – Artena (and/or a third party product) can be used as it stands with only configuration or set up anticipated.
* **Partially complies** - Artena (and/or a third party product) can be used as it stands with configuration or set up needed but some software development is anticipated to meet the business objective.
* **Does not comply** – Software development of Artena (and/or identification of a third party product) is anticipated.

*If no, explain type and extent of non-compliance for each deliverable concerned.*

Software development of Artena (and/or identification of a third party product) is anticipated but will be clearer after detailed business requirements are finalised.

1. **Draft Contracts for Services**

*Provide a draft written agreement that you consider applicable for the provision of the services to Open Polytechnic. Also please provide draft written agreement you consider applicable for the ongoing support of the solution.*

Draft Implementation Contract attached *(YES/NO)*

*Yes SMSS’ Amended Implementation Contract See Appendix*

Draft Support Contract attached (YES/NO)

*No – SMSS’ Service Level Agreement replaces OPNZ Support Service Description* *See Appendix ??*

*Open Polytechnic reserves the right not to use the contract submitted by the successful supplier and reserves the right to propose its own form of contract for the provision of the required goods and services or to negotiate a variation to the contract proposed by the supplier to make it acceptable to Open Polytechnic.*

1. **Contract for Services Terms and Conditions**

Following Open Polytechnic evaluation outcome ratification and post-RFP debriefings, discussions may be conducted to verify the preferred Respondent(s) proposal and its capability to provide the services. Subject to these discussions, the draft Contract for Services may be negotiated with the preferred Respondent(s).

Should a satisfactory final agreement be unable to be reached, Open Polytechnic reserves the right, at its sole discretion, to progressively enter such discussions and negotiations with the next ranked Respondent until achievement of an acceptable contract.

Noted and accepted *(YES/NO)*

Would the Respondent require consideration of any special contractual provisions?

*(YES/NO)*

Yes

*If yes, specify below or attach*

SMSS is not promising that it would sign off on an agreement in the contract terms submitted with the RfP. More dialogue is required and the contract terms may need to change as the RfP process progresses

Exit clause do we put in here or below?

The Respondent TENDERS AND OFFERS to Open Polytechnic to supply the deliverables on the basis of this proposal which, if accepted in writing by Open Polytechnic, will form part of the contract between the Respondent (as the “Supplier”) and Open Polytechnic.

The information provided in this proposal, including all attachments, is true and accurate at the time of submission of this proposal and will remain valid for at least 6 months from submission of this Proposal.

1. **Acceptance of Terms and Conditions:**

Respondents are required to indicate that they have read and accepted the stated RFP Terms and Conditions contained in Section C of the RFP above by signing the following statement:

We at Student Management Software Solutions (respondent organisation) have read and accept the terms and conditions as set out in the Request for Proposal – Student Management System (SMS) solution.

**Deviations from Proposal Form**

Any deviations from Open Polytechnic’s Request for Proposal Form must be clearly marked and a written explanation given for any deviation. Open Polytechnic reserves the right to reject such Proposals should the deviation(s) prove unacceptable in the opinion of Open Polytechnic.

Exit clause do we put in here?

**SIGNED FOR THE RESPONDENT**

Full name: Kerry Marshall

Title: Executive Director

Location: Wellington

DATED Click here to enter text.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(signature)

## Part Two – General Information

1. **Executive summary**

*This section should include:*

* *An overview of your proposal for the Provision of Services required by this RFP*
* *A summary of the major benefits which, in your opinion, Open Polytechnic would gain from accepting your proposal*
* *An overview of your capability to carry out the works.*

**An overview of our proposal for Service**

The Artena Society’s strategic intent moving forward is to continue our collaboration focus, with priority on building a shared services model for New Zealand’s ITP Sector. We will leverage public sector initiatives where possible to help achieve our shared services vision (e.g. All of Government), and leverage technology, with an awareness of the ever changing technology environment, to best enable operational efficiencies and cost effectiveness for our clients.

To meet Open Polytechnic’s requirements for a new Student Management System, we propose to implement our Artena product suite, and provide the associated services relating to the initial implementation and ongoing maintenance and support.

The Artena product suite is a Customised Off The Shelf (COTS) solution, and is highly customisable in order to support and adapt to the business processes of our customers. The solution will also require integration with existing Open Polytechnic systems and potentially other third party software.

Our technology platforms have a strong alignment with the Open Polytechnic Enterprise Architecture, which provides for an easier pathway to interface with other systems already in place at Open Polytechnic.

**Major Benefits**

Taking into consideration the OPNZ Principles outlined in your RFP SMSS believes there are several key benefits that Open Polytechnic will gain from accepting our proposal:

* Artena is a locally developed and supported software product which ensures a high level of responsiveness to specific Open Polytechnic needs as well as to the general demands placed by legislative changes on the sector. Artena has been designed by New Zealand’s tertiary education sector, for New Zealand’s tertiary education sector.
  + SMSS support for Artena is, and will remain, local. This facilitates mutual site visits and encourages direct working relationships, especially to resolve any issues that might arise.
  + A multi-level business relationship based on face to face contact at strategic, account management and technical management levels.
  + Artena is fully compliant with New Zealand legislative requirements and SMSS is fully committed to maintaining this position with a responsiveness that meets the needs of clients. SMSS will, for example, provide unscheduled patch Releases of Artena specifically to meet changes in legislative requirements.
  + SMSS maintains strong working relationships with governmental organisations to ensure that we are aware of forthcoming changes so we are in a position to respond to them in a timely manner.
  + As part of our collaborative nature, Open Polytechnic would be provided the opportunity to be part of the Artena Society Board of Directors, as well as participation in SMSS Ltd’s Artena Owner’s forum, User’s forum, and Technology Leaders Forum. These are our key levers for influencing the direction of the collaborative efforts across the ITP sector, and technology direction for Artena and the associated suite of products and services. Through its relationship with the Artena Society the Open Polytechnic will be part of a large body influencing sector-wide initiatives. The Artena Society is actively engaging with Tertiary Education Commission over the Tertiary Learning Event Collection initiative, and will be seeking to influence shared services initiatives and All of Government offerings.  
    - SMSS would encourage the Open Polytechnic to be actively engaged with other clients sharing experiences and helping determine the priorities and focus for future development efforts. With other local Polytechnics being Artena users, opportunities will present themselves for greater dialogue and involvement between all three institutes.

**Overview of Capability**

SMSS is well positioned with the expertise of our technical team supplemented where required by skilled contractors through our third party relationships to undertake this project.

SMSS will build a strong local team leveraging the skills and experience of a wide range of individuals and organisations to ensure a first class solution is delivered. Within this mix, the expertise of Open Polytechnic staff is a key component.

SMSS’ in house expertise covers gathering detailed business requirements, development and testing, experience of migration projects such as the transition of Artena from Interbase to MS SQL Server, the merging of the EIT and Tairawhiti databases and current activities with the migration of Computer Power for Whitireia and WelTec. SMSS is pursuing a number of avenues to secure appropriate additional resources for the project:

We are currently engaged in discussions to identify a suitable project manager who has the relevant technical experience across migration and integration projects and well versed with the challenges face by tertiary sector.

SMSS is well placed to deliver the data migration aspects of the project. We have retained a former employee of ITS who is very familiar with how the Open Polytechnic use Integrator as he was involved in the implementation project. We also have a contractor on the team who was responsible for the data migration on the move from SEARS to Integrator. Both have extensive knowledge of Integrator and Artena. We are pleased to be able to draw on their experiences and learnings with this project. Both CV’s are included in the Appendix’s.

We are also in discussion with FINNZ for Business Analysis, documentation and training resource. We are pleased to include a statement of support in Appendix X.

* Third Party Relationships – Current Functionality

To help mitigate integration risks, SMSS has engaged in high level discussions with a of Open Polytechnic number of current suppliers who have indicated their willingness to work with us to deliver robust integration with Open Polytechnic’s current suite of products. We are pleased to include statements of support from Provoke and Catalyst IT.

Should resource from these organisations be required, it may be more practical for Open Polytechnic to engage them directly.

* Third Party Relationships – Potential New Functionality

SMSS is proposing Open Polytechnic considers solutions from TechnologyOne (inventory control and finance) and Cyon (Syllabus Plus –resource scheduling) to cover functional requirements not provided by Artena.

Solutions from TechnologyOne and Cyon are widely used within SMSS’ client base and we are pleased to be able to pursue opportunities with these vendors that will ultimately result in closer integration between our products and more seamless availability of data to end users of the systems.

The current users of Artena are very supportive of SMSS’ submission of a response to this proposal and SMSS’ capability to deliver whilst maintaining Business As Usual. They also look forward to opportunities to work more closely with Open Polytechnic.

1. **Project Plan and Key Deliverables**

*Detail your response to Open Polytechnic’s requirements. This should include a Project plan of the key milestones and indicative timeframes.*

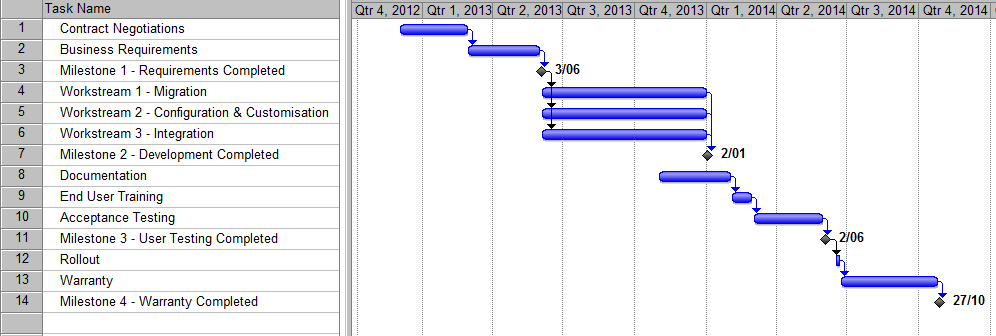
Based on the high level information provided in this RfP and in line with two of the Open Polytechnic’s previously stated principles:

* The Core SMS Product should be the minimum necessary to meet requirements.
* Existing solutions are preferable to customised development

SMSS estimates a project of 18 months duration. SMSS notes that an implementation date will be dependent on, amongst other things, contract negotiations completed, detailed discussions confirming detailed requirements, prioritisation of work, availability of resources and an agreed point in time that is least disruptive to Open Polytechnic’s business.

It is anticipated that initial detailed discussions will be needed around the uptake of many existing areas of Artena, with some adjustment of existing Open Polytechnic business processes; the integration with existing systems and decisions on how best to address areas that are outside the scope of exiting Artena functionality.

Once these discussions are held and decisions are confirmed, a proposed timeframe and resource requirements will be able to be developed.

Table 1 - Indicative Project Timeframes with Milestones

1. **Resources/Capabilities/Experience**

*Names and CVs of the resources and personnel you are planning on utilising on this contract. Please provide CVs of all key personnel. Provide details of experience of providing similar services.*

*Does your organisation operate a quality assurance programme?*

*Describe in detail how you would manage and develop the relationship with Open Polytechnic.*

SMSS staff CV’s see Appendix X

SMSS notes that these individuals are expected to be involved in the project but at this time cannot be identified as Key Personnel as defined in the Implementation Service Description Section 8.3.

**Quality Assurance**

SMSS views quality assurance as crucial to delivering quality software and operates an internal quality assurance programme for issue resolution, development and testing processes.

Some key points of our programme, even before development is started:

* Central logging and on-going update of all issues creating a single point of truth and an audit trail
* Every issue is assigned, investigated, an impact assessment undertaken and prioritised. Note that this is all tracked through the SMSS Help Desk and Development system
* Creation of appropriate documentation
* In-depth discussions between Technical Support Analyst, BA and developer

Our QA process identifies checkpoints during development where we focus on reviewing Work in Progress. These checkpoints are:

* On initial receipt of information by the Component owner
* During coding (primarily integration testing) by the developer
* After analysis/design/build (peer or senior developer review)
  + Functional and regression testing
  + User testing

Once Business As Usual is achieved we undertake a regular review of Defects raised to identify any regression issues and whether any issues have arisen that suggest development processes could be improved.

Communication is key throughout all aspects of the QA programme, and can enhance or seriously degrade the quality of the end product. To SMSS every task is a collaboration involving the client, technical support analyst, BA, developer and tester and SMSS management all contributing to the final deliverable.

SMSS supplements theinternal quality assurance if needed for specific projects with external quality assurance. For example, we engaged Aura Information Security to review the student web portal developed for Artena.

**Developing the Relationship**

A collaborative partnership is absolutely key to a successful client relationship. SMSS will develop a partnership with the Open Polytechnic at different levels over time as we move from negotiation through to implementation then to Business As Usual.

Initially as we agree contractual terms, the relationship will be more formalised and confined to senior members of our respective organisations in order to ensure a common approach and governance framework is agreed. As we progress past this point the focus will shift to establishment of the project team which SMSS proposes is approached co-operatively through a Steering Committee/Project Board that will provide project oversight and direction.

The project will, in turn, develop cross functional relationships so that all stakeholders are engaged. This may be facilitated by the SMSS project team working on site at Open Polytechnic or Open Polytechnic staff spending time at SMSS.

SMSS staff involved during the project will include the Executive Director, Senior Management Team and the Technical team supported by contract resource.

Once Business As Usual is achieved the primary contact points for the Open Polytechnic with SMSS will be the SMSS Help Desk and the Client Relationship Manager. The Help Desk will manage calls relating to queries or problems about the product and the Client Relationship Manager will be the primary channel for communication between the organisations. SMSS encourages and welcomes clients to visit our offices. SMSS is well set up for visitors with a dedicated training room and meeting rooms available for client use.

Designated contact points for SMSS at client sites are normally the Deputy Chief Executive, Artena Owner, CIO, Artena System Administrator and Senior Users.

In addition, the Artena Owner at Open Polytechnic will be invited to attend and be part of the Artena Owners Forum to bring a strategic organisational perspective to discussions about the current and future state of the product.

Users of the system will be encouraged to attend User Group meetings and to utilise the On Line Community

For information on the Artena Forums see Appendix ???.

1. **Third party relationship**

*Open Polytechnic may engage third party usability expertise for certain areas (i.e. to review and quality assure the user experience). Name instances where you have worked with other such third parties and how you have ensured that this engagement worked for your client.*

Artena provides an easy to use, intuitive interface.

During the development of Artena Version 9, Optimal Usability was contracted to review the user interface and provide feedback on the usability of Artena. Following this review SMSS employed DNA Design to provide the design concept that determined the overall look and feel of the interface and a Design Implementation Guide.

SMSS has also engaged Aura Security to review security on our website and Student Web interface as we consider this an important component of providing functionality that is accessible by the public.

## Part Three – Quality Assurance

*As part of this contract Open Polytechnic expects the successful service provider to provide Quality Assurance over the contract outputs.*

1. **Quality Assurance**

*How do you plan to ensure the quality of the data migration, analysis, configuration and implementation work undertaken by your company reflects the expectations of Open Polytechnic?*

There are two aspects to Quality Assurance (QA): Qualitative and Quantitative.

Qualitative QA is distinctly more of an approach than a deliverable, underpinning all activities and guaranteeing an outcome of the agreed quality. In that vein, every work stream will

* have clear and agreed responsibilities and objectives against which progress will be tracked
* use robust, transparent processes
* use appropriate templates and a single project register
* undertake both formal and informal consultation including sign-offs where required
* ensure proper communication with the relevant people in an appropriate manner
* highlight risks and issues appropriately with potential mitigations as soon as they are identified
* provide documentation at an appropriate time to an appropriate, agreed level.

Note that these are purposely non-specific at this point. This is to highlight that the exact measures must be appropriate to, amongst other things, the nature of the activity, the business risk it entails, and the time and cost of undertaking it. These would be determined at the start of each work stream.

The quantitative aspect is a list of criteria to which the delivered product is expected to conform. Some possible examples include:

* delivery of migrated data to the quality agreed by the Project Board
* test run of an SDR passes all Ministry validations
* successful transfer of data between Moodle and Artena
* all look-up tables completed and signed-off

It is SMSS’s expectation that clear and realistic acceptance criteria will be agreed by both Open Polytechnic and SMSS, conformance to which will determine the delivery of a quality product.

Through good project management techniques, including written documentation of agreements, and a spirit of co-operation that focuses on resolving issues collegiallyas they arise SMSS’ objective is to ensure that this project is one that Open Polytechnic will be able to reflect on and report as being well managed and successful.

1. **Performance Indicators**

*How will you contractually guarantee the delivery performance (e.g. milestone delivery payment, or delayed payment on successful delivery)*

Refer Main Agreement Clause 4.

1. **Rectification**

*How do you plan on rectifying any areas of work that Open Polytechnic may not be 100% satisfied with the outcome.*

Refer Main Agreement Clause 4 and 15.

1. **Service Level Agreement**

*Please provide a proposed service level agreement for the ongoing provision of services which shall cover:*

* + *agreement objectives*
  + *description of services*
  + *definition of service levels*
  + *performance indicators*
  + *reporting*
  + *review*
  + *mutual obligations*
  + *billing and payment*
  + *variations*
  + *exclusions*
  + *escalation procedures*
  + *dispute resolution*
  + *termination conditions*
  + *service schedule*
  + *glossary*

SMSS notes that our Software Licence and Support Agreement provides the contractual obligations for a number of these items. Our Service Level Agreement with clients focuses on the day to day operational relationship rather than the contractual relationship.

Please see Appendix X to view the SMSS Software Licence and Support Agreement

Appendix X to view Service Level Agreement. Our comments on contractual terms are included in the Main Agreement and Implementation Service Description.

## Part Four – Pricing

1. **Total Cost for Core Components**

*Provide a complete summary of all lump sum costs and ongoing costs to undertake the RFP requirements* ***plus an itemised cost dropdown****. Indicate suitable instalments of any lump sums to be paid on completion of identified milestones with a final payment dependent on satisfactory completion of the services.*

Click here to enter text.



1. **Itemised Cost for Non-Core Components**

*Provide a list of all individual costs and ongoing costs to undertake the RFP Non-Core requirements. Provide details of any additional material/license cost if applicable.*

Click here to enter text.



1. **Resource Cost**

*Provide standard daily and hourly rates for each resource involved in this project.*

Click here to enter text.

## Part Five – Assumptions and dependences

1. **Assumptions**

*Your proposal should set out clearly any assumptions you have made in respect to the requirements set out in this RFP.*

Click here to enter text.

The assumptions that SMSS has made in submitting its proposal in response to the Open Polytechnic’s RfP are that:

* The requirements set out in the RfP establish Open Polytechnic’s high level requirements. Further discussion and negotiation will be required to define and agree a detailed specification that will include estimated time frames and resource requirements from all parties. Some clarity regarding specific business requirements is still required as well as agreement regarding responsibilities of both parties which can only be achieved through further discussion and documentation.
* Where SMSS’s Artena software solution (Artena) complies with Open Polytechnic’s general requirements, SMSS will not modify the relevant features or functionality in Artena. If Open Polytechnic wishes to have that feature or functionality modified, it will be considered an Enhancement (please Refer Appendix X Artena Definitions) to Artena and will be undertaken in accordance with the Artena Software Licence and Support Agreement to a prioritised schedule and cost agreed between the parties.
  + SMSS notes that changes to Artena functionality need to be assessed against current client use of the system and any potential impact must be incorporated in an assessment of whether the change is to be made.
* The elapsed time frame for the project will be 18 months (excluding 90 days post implementation support), commencing March 1st 2013 with implementation by August 31st 2014.
  + The stated duration and implementation are based on information provided by Open Polytechnic to date and are subject to discussion with Open Polytechnic to decide when would be least disruptive to it.
* A rigorous Change Control process will be instituted to ensure that any modifications to the detailed specification are discussed, understood and agreed to by all parties. Please refer to Main Agreement (Change Control process) [following 2 pts to this doc?]
  + The Change Control process will include executive representatives of Open Polytechnic and SMSS.
  + SMSS will retain the option to provide revised estimates based on the detailed specification and on any modification agreed through the Change Control process.
* Open Polytechnic will, at its own cost:
  + modify its current business practices to conform with the setup and operation of Artena as recommended by SMSS if the business objective can be achieved in Artena without additional development.
  + manage the engagement of existing Open Polytechnic suppliers or proposed Open Polytechnic suppliers where it is agreed that this is the preferred relationship.
  + provide its own suitably qualified and experienced staff where required in the project.
  + project manage its own staff to the agreed schedule and in close collaboration with the SMSS Project Manager.
  + undertake any external quality assurance of delivery against specification. Should additional requirements be identified that do not fall within scope of the detailed requirements, they will be subject to discussion under the Change Control process.
  + undertake retraining of its own staff in the use of Artena, including any classroom training required, and updating of Open Polytechnic policies and/or procedures.
    - SMSS will provide training to Open Polytechnic Artena administrators; recommendations for set up of Artena and advice on best practice use of Artena.
  + the operational hosting platform for Artena (including backups and disaster recovery).
  + maintain a testing environment after implementation for user testing of Artena Releases (Please see Appendix X – Artena Definitions).
* That existing business data is robust, i.e. that it conforms to a reasonable level of data integrity and is thus able to be migrated.

One of the core values and strengths of SMSS is our collaborative approach. We believe in partnering with others to leverage off our respective strengths providing a whole that is greater than the sum of its parts. In that vein, SMSS assumes that in addition to Open Polytechnic staff SMSS will potentially be working closely and co-operatively with other third parties such as TechnologyOne, Cyon, Provoke, Catalyst IT and other suppliers who may be required to contribute to the successful outcome of the project.

1. **Open Polytechnic Resources for implementation**

*Describe what Open Polytechnic resources are required, how much of their time will be needed, and when they will need to be available for delivering this work.*

SMSS anticipates the following Open Polytechnic resource will be required for the project. Specific details of availability will be able to be determined after detailed business requirements are agreed.

|  |  |
| --- | --- |
| **Resource** | **Responsibility** |
| Executive Manager | Senior Client Representative on Steering Committee. |
| Project Manager | Organisation and management of Open Polytechnic resources (including other Open Polytechnic suppliers). |
| Subject Matter Experts and Business Analyst | Represent the business requirements for functional areas and work with the SMSS Business Analyst to determine data mapping, changes to Open Polytechnic processes and Artena functionality. |
| Developers | Modifications required as part of integration with existing Open Polytechnic systems (including extraction of existing business data to the provided specifications and report writers). |
| Technical Writer | Updating documentation on Open Polytechnic business processes. |
| Trainers | Developing detailed understanding of Artena sufficient to train Open Polytechnic users and support staff. |
| User Testers | Determining whether system modifications meet specification. |
| System Administrator/DBA | Provisioning (and maintenance) of the environment. |
| Quality Assurance | Project assurance. |

1. **Open Polytechnic Resources past implementation**

*Describe what Open Polytechnic resources are required, how much of their time will be needed, and when they will need to be available for post implementation support (ongoing).*

SMSS anticipates the following Open Polytechnic resource will be required during Business As Usual (excluding the actual users of the system).

|  |  |
| --- | --- |
| **Resource** | **Responsibility** |
| Senior Manager | Artena Owner – the senior contact point for SMSS at Open Polytechnic responsible for representing a strategic view of product development as well as sign off for operational matters. Attendance at Artena Owner Forums. |
| Artena System Administrator | Senior Artena user responsible for Artena system parameters and access (and liaising with SMSS Help Desk). |
| Business Analyst | Represent the business requirements for functional change and work with the SMSS Business Analyst. |
| Developers | Maintenance or enhancements to Open Polytechnic systems that interface to Artena. |
| User Testers | Determining whether Artena Releases introduce any undesirable outcomes for Open Polytechnic business processes. SMSS hosts user testing at SMSS – generally over two days - when an Artena Release Candidate is made available – user testing is normally performed in the month following a Release Candidate. |
| System Administrator/DBA | Maintenance of the environment (production and test) and implementation of Releases. |

1. **Open Polytechnic Dependencies**

*Describe any dependencies on Open Polytechnic (what and when) that have to be met for project to be delivered on time*

SMSS has assumed:

* Contract details will be finalised by February 28th 2013 to allow project commencement on March 1st 2013.
  + SMSS notes that the successful outcome of contract negotiations will determine the start date and when formation of a project team can begin.
* Open Polytechnic is able to provide its own suitably qualified and experienced staff when required in the project.
* Open Polytechnic manages the delivery of its own suppliers to the agreed schedule.
* Open Polytechnic responds promptly to questions and/or discussions relating to scope and detail of requirements.
* Open Polytechnic is able to provide or provide appropriate access to the business data when required in the project.
* Open Polytechnic is able to provide clear guidance by way of timely business decisions when required.

## Part Six – Solution and Delivery Approach

1. **Technical Solution**

*Please describe your technical solution and include any hardware or software requirements as well as skills required to implement, support and maintain the solution.*

To meet Open Polytechnic’s requirements for a new Student Management System, SMSS proposes to implement the Artena product suite, and provide the associated services relating to the initial implementation and ongoing maintenance and support.

The Artena product suite is a Customised Off The Shelf (COTS) solution, and is highly customisable in order to support and adapt to the business processes of our customers. It is built on modular PHP technology, which has enabled us to develop new and enhanced functionality.

Artena’s core functionality has been developed in the student administration area, and more recently we have developed new modules for (web-based) student self-service, management reporting, and assessments.

The Artena Standard Operating Environment is included in Appendix X and describes the base operating environment required to run Artena. Artena requires well known, reliable and supported products, the primary ones being Microsoft SQL Server as the database engine, PHP which is used for writing business logic and a standard web browser capable of running Flash Player for users. Additional technical information is provided in Appendix x(architecture) & Appendix x(Core prog tools)

Additional supporting software is provided as part of an Artena Release or may be downloaded from the internet (to respect third party open source licence agreements).

Some clients (and SMSS) have deployed Artena using virtualization software which opens up a wide range of hosting opportunities for clients.

Our technology platforms have a strong alignment with the Open Polytechnic Enterprise Architecture, which provides for an easier pathway to interface with other systems already in place at Open Polytechnic.

Skills required by Open Polytechnic to implement (new Releases), provide technical support and maintenance of the solution (assuming Business As Usual) are within the scope of a competent System Administrator/DBA and would likely fit within existing duties. Please also see Part 5 Sections 2 and 3.

1. **Approach**

*Describe your delivery methodology and approaches you would use to deliver the RFP’s deliverables. Discuss the benefits of your approach.*

SMSS will work closely and co-operatively with Open Polytechnic during this project to ensure that it is well managed and successful.

The project will follow a structured project management methodology which will provide an appropriate framework for governance and management.

SMSS envisages the formation of a Steering Committee/Project Board comprised of senior representatives from our organisations as well as the formation of project teams to manage the different work streams (migration, integration, *configuration and* customisation, testing, training and implementation).

The Steering Committee/Project Board will discuss and agree how the project will be managed and the authorisation of scope for the work streams required, amongst other things.

This proposed approach will allow us to jointly decide on the project governance and management in lead up to Stage 1. SMSS firmly believes that this should be achieved in consultation with Open Polytechnic as the most appropriate means to ensure that the partnership between our two organisations is based on common principles and mutual goals.

It is clear that Open Polytechnic has a variety of business processes that would benefit from standardization and the implementation of optimized business practice across your business units. As a result of discussions with many of your team at the recent Open Home Days it appears that the experience with the current SMS has resulted in a high level of frustration amongst staff as they feel constrained by system processes that sometimes don’t suit business needs. The failure of the current system is most clearly seen with the ‘sprouting’ of ad hoc systems and databases that enable staff to perform their jobs more effectively. The potential for loss of data integrity in this situation is a big risk.

It has become clear to us during the Open Home sessions that the a question we must initially address is how best to bring Open Polytechnic up to speed with a detailed understanding of Artena to help Open Polytechnic properly determine how best to configure and use Artena, if this system were your preferred option. We have, in response to the RfP, provided indicative estimates of the amount of work that could be involved in the migration of Open Polytechnic’s data, the configuration and customization of Artena, and the integration with current Open Polytechnic systems.

We are, however, strongly of the view, that we can better serve Open Polytechnic by commencing the project with a joint review of the requirements and the solution, using Artena to give a detailed understanding of the system’s functionality and capability and how Open Polytechnic might map its business processes.

This process opens the way for the Open Polytechnic to make a more informed decision about how they will use the product. This in turn will allow a proper gap analysis to be performed and specific requirements to be developed that cover configuration of, and potential modifications to, Artena (whether in the core functioning of the product or through integration with other systems in place or proposed).

Completion of this initial confirmation of requirements stage will be the first milestone. Sign-off is achieved, and the requirements are then subject to change control. A key component of this stage would be a comprehensive risk assessment to allow Open Polytechnic and SMSS to develop appropriate mitigation tactics.

Once the requirements are confirmed, the dependencies can be established and each work stream can start. SMSS envisages that work streams requiring development effort will be managed as either waterfall or agile sub projects depending on the nature of the work required and resources able to perform it.

While the project would then progress into the specific work streams (migration of data, configuration and customization of Artena, and integration with other products, followed by testing, training and roll out) we should also consider whether the Open Polytechnic would prefer to gain a detailed understanding of Artena by undertaking a proof of concept prototype which would allow Open Polytechnic to experience hands on how the system could be set up.

Irrespective of the means agreed to achieve the confirmation of requirements SMSS proposes that this be decided in consultation with Open Polytechnic.

The key benefits of this proposed approach are:

* Open Polytechnic develops a clear and detailed view of how Artena would be deployed before any migration, configuration, customization or integration work is performed.
* Open Polytechnic and SMSS understands clearly what work needs to be done to implement the solution and Open Polytechnic and SMSS have worked through responsibilities, including dependencies, time and cost estimates for this work.
* Open Polytechnic and SMSS minimise the risks associated with estimating projects with only high level requirements and are able to better control project and deliverable scope.

In SMSS’s view, strategic decisions about how best to manage this project are more likely to result in successful outcomes for all parties if a collaborative approach is taken to planning and management. This can best be achieved through a willingness of all parties to sit around a table and mutually agree the way forward. The proposed approach will openly mitigate risk and conflicts.

## Part Seven – High-level Business Requirements

### OUR MINIMUM: THE CORE SMS PRODUCT

(MANDATORY FUNCTIONAL REQUIREMENTS)

#### Student relationship management

##### Enrolments

* + 1. ***Receipt of enrolment applications*** 
       1. Enrolment applications must be received for both new and re-enrolling students, regardless of how the application is given to Open Polytechnic (online via a web portal, physical mail, or by phone).

*Response Complies.*

* + - 1. Each enrolment application should be allocated a unique application number. This number will be used as a reference when communicating with the applicant.

*Response Complies.*

* + - 1. Applications processed by the call-centre and by partners should be entered directly into the SMS but be placed into a holding area for approval (not automatically processed).

*Response Complies.*

*Use application statuses and sub statuses*

* + - 1. Enrolments received should be placed in a holding area for approval if they fail to meet the user defined business rules - these include mismatch in entry codes or combinations of entry codes, such as an international student having domestic fees applied to their registration, or country of residence not matching address of student.

*Response Complies.*

*Artena currently offers seven application statuses with user definable sub statuses.*

*User defined validations are checked when moving between application and enrolment statuses.*

* + - 1. Place holds on auto enrolments where students are flagged, e.g. bad debts, non completion.

*Response Complies.*

*Post-it notes are used to alert administration staff to issues with a student*

*The debtor bad debt status is a validation that can be set to give a warning or an error during the enrolment process*

* + - 1. The ability to track the number of times a student enrols into a course.

*Response Partially complies (the number of times a student enrols in any course can be identified).*

* + - 1. The ability to restrict re-enrolling based on X number of prior enrolments (where X can be defined by Open Polytechnic either globally or per individual student or course).

*Response Does not comply.*

* + - 1. The ability to supply courses as interest-only (academic audit) courses where no qualification is gained but a fee is chargeable.

*Response Complies.*

* + - 1. The ability to offer course components to students, i.e. similar to the NZ Learning Platform.

*Response Complies.*

* + - 1. The ability to define a specific enrolment application process that caters for Recognition of Prior Learning (RPL) and Assessment of Prior Learning (APL).

*Response Current NZ Artena TEOs have processes in place for RPL and APL*

* + - 1. The ability to adjust a quote manually, e.g. applying currently existing credit.

*Response Complies.*

* + - 1. Enrolment applications will include additional questions for specific courses. The solution must cater for this in the process.

*Response Complies.*

*During enrolment process the enrolment officer is able to indicate that entry conditions have been met*

* + - 1. The ability to easily integrate with other communication tools for sending a quote.

*Response Complies.*

* + - 1. Only show staff those courses relevant to a student’s contract, when facilitating an enrolment.

*Response Complies.*

* + 1. ***Supporting documentation and Escalations***
       1. During the enrolments process, staff need to easily access and view supporting documents (e.g. residency status, previous qualifications, transfer of credit)received with the application record.

*Response Complies.*

* + - 1. The ability to escalate an enrolment to any person or area after specified conditions are met, including after a designated period of time.

*Response Does not comply. Could be achieved with Nintex integration.*

* + - 1. Escalations should be logged and able to be reported upon.

*Response Does not comply. Could be achieved with Nintex integration.*

* + - 1. The ability to log and easily access all communication between Open Polytechnic and applicants.

*Response Complies.*

* + 1. ***Tracking of enrolment statuses*** 
       1. The ability to set up descriptive ‘Status of Progress’ statuses is required. Examples of these might be: Waiting on StudyLink approval, Waiting on documentation, etc.

*Response Complies.*

* + - 1. The ability to set up and maintain personalised automated messages which will be sent to applicants at user defined stages during the application approval process. These messages can be set up for all applicants or a cohort of applicants.

*Response Does not comply. Could be achieved with Nintex integration.*

* + - 1. A clear log of who made changes to an enrolment application must be kept and easily accessible by authorised individuals.

*Response Complies.*

* + 1. ***Data capture***
       1. The ability to capture all necessary biographical data as well as additional data required for NZ Government regulatory compliance reporting, contract agreements, Loans/Training Incentive Allowances and other third parties, including NZQA.

*Response Complies.*

* + - 1. The ability to link into I-Gov or other government identity verification portals.

*Response Does not comply.*

*SMSS are keeping a watching brief in this area as it is of interest to many of our clients*

* + - 1. The ability to add, change and remove fields to student records as the requirements arise. An example of this is when new information is required for the SDR returns as a result of a change from TEC.

*Response Complies.*

*Any specific NZ changes will be implemented by SMSS.*

*UDA (User Defined Attribute) fields exist for site specific fields*

* + 1. ***Validations***
       1. The ability to set up and maintain business rules around enrolments, which will be used for auto enrolling students.

*Response Partially complies.*

*Specific validation rules would need to be written.*

* + - 1. The ability to validate enrolment applications against these business rules.

*Response Complies.*

* + - 1. Applications that pass all enrolment requirements, including payment, should be automatically registered for enrolment.

*Response Complies.*

* + - 1. The ability to override the business rules where necessary, with secure controls.

*Response Complies.*

* + - 1. Override and register an enrolment, based on level of access.  For example, an International student hasn’t paid fees, but approval is given to register enrolment with a debt.

*Response Complies.*

* + 1. ***Confirming enrolment***

The system must be able to generate a quote to the student, and confirm the acceptance when received back. The quote must include the programmes, courses, fees, etc., as appropriate to the enrolment.

*Response Complies.*

* + 1. ***Check if course has already been accomplished*** 
       1. The ability to validate a student’s prior study history either with Open Polytechnic or on the NZQA study record.

*Response Complies.*

* + - 1. The ability to suggest the next course of study when a student completes a course.

*Response Does not comply. Would require further discussion around rules.*

* + 1. ***Enrolments and Customer Financials links***
       1. Payments received need to be linked to an enrolment or a student. Please describe how your solution identifies payments against student accounts.

*Response Complies*

*Artena uses a batch payments file import process with a holding area for a process of matching student payment information to an Artena debtor*

* + 1. ***Enrolment changes, including withdrawals***
       1. The ability to process enrolment changes.

*Response Complies.*

* + - 1. The ability to define withdrawal statuses and link them to an enrolment.

*Response Complies.*

* + - 1. The ability to process withdrawal requests, including fees and refunds.

*Response Complies.*

* + - 1. The ability to process academic withdrawals and disengagements initiated by Open Polytechnic.

*Response Complies.*

* + - 1. The ability to report enrolment and withdrawal information by all fee and contract types.

*Response Complies.*

##### International students

* + 1. The system should have the ability to identify the following: Non-citizens living overseas; Non-citizens residing in NZ on work permits; Citizens living overseas; International Students residing in NZ on a study permit; and Citizens and Permanent Residents living in New Zealand.

*Response Complies.*

##### Professional certifications, short courses and workshops

* + 1. The ability to fast track enrolments for non-government funded courses, e.g. professional development, and to ensure outcomes for these are captured on their academic history (and transcript) without going through the normal government-funded enrolment processes.

*Response Complies.*

* + 1. Open Polytechnic may wish to record other avenues of learning against students' records, including such items as First Aid training, certificates, and attendance at workshops. This dovetails with the potential to develop and deliver specific short-term courses to students, results of which would need to be applied to the student's academic record, including passing this information through to the academic transcript and producing certificates, as appropriate.

*Response Complies.*

* + 1. The ability to charge and receive payments for professional certifications, short courses and workshops.

*Response Complies.*

* + 1. The ability to report on the enrolment, registration, attendance, progress and completion of short courses and workshops.

*Response Complies.*

* + 1. The ability to define assessment criteria and structures for short courses as well as record results.

*Response Complies.*

* + 1. The ability to define and maintain completion criteria.

*Response Complies.*

* + 1. The ability to manage venues and workshop requirements.

*Response Does not comply. Could be achieved with Syllabus Plus integration.*

* + 1. The ability to record exemptions and report on them by student.

*Response Complies.*

* + 1. The ability to record work placements.

*Response Complies.*

* + 1. The ability to define whether the course is linked to the formal academic record.

*Response Complies.*

* + 1. The ability to progress from professional certifications, short courses or workshops to a formal qualification.

*Response Complies.*

* + 1. The ability to convert an enrolment from a professional course into a full enrolment.

*Response Complies.*

##### Data management

* + 1. Staff will be able to view and maintain student records and respond to queries.

*Response Complies.*

* + 1. Access to sensitive data will be restricted as required.

*Response Complies.*

* + 1. The ability to store and view student records electronically.

*Response Complies.*

* + 1. Default information should be auto-populated, but able to be changed, e.g. Country of Residence defaults to NZ.

*Response Complies.*

* + 1. Data entered once is automatically populated throughout the record/solution wherever it needs to go, e.g. citizenship entered on first screen is auto-filled in on any subsequent screen for that student.

*Response Complies.*

* + 1. The solution will provide an easy, and user-controlled, way to merge duplicate records while maintaining data integrity. Optimally, some controls to minimise duplication would also be present in the solution.

*Response Complies.*

* + 1. Logic must be built into the solution to identify potential mismatches, e.g. “male” and “Mrs”.

*Response Complies.*

*For the example given, the gender defaults based on the title. The user is still able to change the gender if required.*

* + 1. The ability to rationalise programme and course codes – internal, external and SDR.

*Response Complies.*

* + 1. The SMS will record and produce student academic records, including formal transcripts of students’ qualifications and academic results, in formats as described by Open Polytechnic.

*Response Complies.*

* + 1. The ability to have a restricted third party view based on a specific cohort.

*Response Partially complies*

*Data filters are able to be applied based on an organisation unit, subject area.*

*Security can also be applied to limit a view to specific organisations/units*

* + 1. The ability to easily navigate between various views.

*Response Complies.*

* + 1. Data management capabilities such as locking of records (including results), bulk changes, reactivating student records, and maintenance of data.

*Response Complies.*

* + 1. The ability to archive data based on flexible and approved criteria.

*Response Does not comply.*

* + 1. The ability to identify the impact of bulk changes made to data within the SMS.

*Response Complies.*

* + 1. End user ability to administer own processes, e.g. to be able to schedule or cancel processes in batch or deferred batch.

*Response Does not comply.*

*In areas where ETL processes are used scheduling can be achieved using SQL Server Intergration Services (SSIS).*

##### Academic management

##### Academic credit transfers

* + 1. The ability to record and maintain data related to credit transfer, either internally (from other awards) or externally (from other domestic or international institutions).

*Response Complies.*

* + 1. The ability to set business rules at programme level about the criteria regarding the number or percentage of credits that can be transferred per program.

*Response Complies.*

* + 1. The ability to define credit transfer criteria.

*Response Does not comply.*

* + 1. A course should be usable for cross-crediting regardless of its “open” or “closed” status.

*Response Complies.*

##### Academic structure

*The SMS must be the single source of information for programme and course planning. The SMS needs to support the planning and review of programmes and courses as well as support the Academic Board approval processes and documentation. This includes:*

* + 1. The ability to create, develop, publish and maintain programme details, course details including descriptions and EFTS value, credit value, register level, sub-component courses, and co- and pre-requisites.

*Response Complies.*

* + 1. Flexibility to be able to add additional user defined fields to a programme or course on an ad-hoc basis. Examples of these fields are usually new data required for NZ Government regulatory compliance reporting.

*Response Complies.*

* + 1. The ability to define special requirements, regulations and rules, e.g. if there are special criteria for admission.

*Response Does not comply.*

* + 1. The ability to set up different types of course delivery methods.

*Response Complies.*

* + 1. The ability to apply business rules to qualifications and courses, and apply these during the Enrolment process.

*Response Complies.*

* + 1. The ability to set programme completion rules and prescribe minimum requirements to secure the qualification.

*Response Complies.*

* + 1. The ability to define and capture multiple faculty and administrative roles against programmes and courses, and to set up a contact hierarchy within each course.

*Response Development required.*

* + 1. The ability to link to stored electronic documents for a programme and course.

*Response Partially complies.*

*Able to store electronic documents against programmes but not individual courses.*

* + 1. The ability to define and maintain structures for programmes and courses. This includes establishing flexible relationships between programmes and courses, as well as between parent and child courses. These relationships need to be supported as one-to-many, many-to-one, and many-to-many. Note that not all courses are linked to a programme.

*Response Complies.*

* + 1. A cross credit registry that could be used to automatically assign cross credits to students.

*Response Does not comply.*

* + 1. Support for version control for programmes and courses, maintaining a full history of changes.

*Response Complies.*

* + 1. Flexibility around setting programme and course offerings as available, on hold or not available.

*Response Complies.*

* + 1. The ability to capture grades in either competency based or numerical/alphabetical format, per programme or course.

*Response Complies.*

* + 1. The ability to allocate a multiple set of grade formats against programmes or courses.

*Response Complies.*

* + 1. The ability to set up funding information against qualifications and courses, as well as maintaining history and log of this information.

*Response Complies.*

* + 1. Flexibility with implementing the open and closing periods for programmes and courses. The periods should be date driven and maintainable on an ad hoc basis.

*Response Complies.*

* + 1. The ability to capture course and programme information received via surveys, feedback forms, graduate outcomes, etc.

*Response Complies.*

* + 1. The ability to add course completion rules e.g. in some courses there is a need to “pass” or obtain a minimum assessment result in each assessment to pass, and in other cases there is no such rule and the course completion is simply an average.

*Response Complies.*

* + 1. The ability to calculate final marks based on a weighting of assessment results for the course.

*Response Complies.*

* + 1. A range of easily identifiable status codes available in the SMS to identify the reasons why a course is not open for enrolment.

*Response Complies.*

*UDA fields are available on Offerings which could be used to capture a reason.*

*Offerings have three status codes, Active, Inactive and Deactivated.*

##### Completing and issuing awards

* + 1. The academic progress of students will be tracked through the completion of their qualification (and subsequent graduation, when appropriate). Qualifications completions will also include those earned "en route" to a larger achievement (embedded qualifications).

*Response Complies.*

* + 1. The ability to identify cross-credits and apply them appropriately to qualifications.

*Response Complies.*

* + 1. The ability to recommend a student for a qualification when applicable. Students should not have to request this - the SMS will be proactive and not reactive.

*Response Complies.*

*Qualification audit process allows an Artena user to check if a student has fulfilled the requirements to be awarded a qualification*

* + 1. The ability to proactively provide a listing (to either a student or staff member) of what still needs to be taken to achieve a qualification.

*Response Complies.*

* + 1. Provide functionality to automate the submission (application) for qualification from 3rd parties, i.e. NZQA, and to receive acceptance in order to issue awards/certificates as appropriate.

*Response Partially complies.*

*The submission of achieved academic records is able to be submitted to NZQA using an export utility.*

*The user is also able to import NZQA accreditation data into Artena*

* + 1. Produce advance notifications/warnings of impending/near completions (projected qualification completions).

*Response Complies.*

*This may be achieved using the reporting tools in Artena (EPI reporting).*

* + 1. Validate the student's programme to check that it complies with the rules defined for the qualification and other relevant rules. This should be applicable to the version when the student enrolled in a qualification, so historical matching (to a degree of Open Polytechnic's choosing) is important.

*Response Complies.*

* + 1. The ability to produce evidence of award, both electronically and physically, including printing onto special stock paper.

*Response Complies.*

* + 1. Communicate, at times of Open Polytechnic's choosing and through a range of channels, eligibility to graduate and/or attend ceremonies to appropriate students.

*Response Complies.*

* + 1. The ability to flag and stop an award for non-payment of fees or inappropriate behaviour.

*Response Complies.*

* + 1. The ability to validate all awards that are eligible for graduation, and to pass those validations to the graduation program.

*Response Complies.*

##### Assessments/Course Results

* + 1. The ability to receipt and record results.

*Response Complies.*

* + 1. The ability to identify resubmissions.

*Response Complies.*

* + 1. The ability to accommodate a multiple set of grades.

*Response Complies.*

* + 1. The ability to easily set up assessment due dates and copy them across multiple study periods.

*Response Complies.*

* + 1. The ability to have elective assessments within a course, e.g. select 3 out of the 5 offered assessments.

*Response Complies.*

* + 1. The ability to give students a “pass” on a course, and all sub-elements linked to the course are completed automatically.

*Response Does not comply.*

* + 1. The ability to review a student’s assessment due dates and change them accordingly. This includes automatically adjusting remaining deadlines when a preceding one is altered.

*Response Does not comply.*

* + 1. The ability to enter multiple marks for multiple students within a single screen.

*Response Complies.*

* + 1. The ability to verify assessment results entered against an assessment structure.

*Response Complies.*

* + 1. The solution needs to recognise aberrant entries or missing information for verification.

*Response Complies.*

* + 1. Integrated Assessments – The ability to use an assessment result to award credit for multiple unit standards.

*Response Partially complies.*

*Automating copying of results would need to be developed.*

* + 1. The ability to cross-credit assessments to other courses automatically, e.g. Assessment Result X can apply to three courses, and is done so on behalf of the student when they successfully complete it.

*Response Does not comply.*

* + 1. Assessments could have multiple outcomes and the SMS needs to be able to roll-up and roll down outcomes.

*Response Partially complies.*

*Artena can be configured to roll up an outcome but not roll down.*

* + 1. For identified courses, course completion must be triggered by the entry of the last assessment mark for that course. This will be triggered either by final successful assessment or final allowable submission.

*Response Partially complies. (Trigger and course selection would need to be developed; batch update of course status currently available).*

##### Exams

*It is required that the SMS support the management of examinations. This will include:*

* + 1. The timetabling of exams and rooms/facilities.

*Response Complies using Syllabus Plus.*

* + 1. The preparation of exam papers.

*Response Does not comply (manual process).*

* + 1. The registration of exam supervisors.

*Response Complies using Syllabus Plus.*

* + 1. The coordination of exam supervision.

*Response Complies using Syllabus Plus.*

* + 1. Storage of exam information.

*Response Complies.*

* + 1. Booking of remote exam locations and storage of the details of each venue.

*Response Complies using Syllabus Plus.*

* + 1. The issuance of exam entrance letters.

*Response Complies using Syllabus Plus.*

* + 1. The receipting of exam papers from the distant venues.

*Response Does not comply. Development required.*

* + 1. The coordination of exam marking and recounts.

*Response Does not comply.*

* + 1. The preparation and approval of final results.

*Response Complies.*

* + 1. The ability to release approved results on an ad hoc basis.

*Response Complies.*

* + 1. The ability to record results of aegrotat approvals as well as preparation for the retake of exams.

*Response Complies.*

##### Extensions

* + 1. The ability to record all extension applications and the results (approval or decline) against a student’s record.

*Response Partially complies. Will require Nintex development.*

* + 1. Define rules to grant extensions on a course or assessment basis.

*Response Does not comply.*

* + 1. The ability to approve assessment extensions within a predefined period.

*Response Complies (by changing the extension date).*

* + 1. Approval of extensions outside of the predefined period will be seen as special consideration extensions and are escalated for higher level approval.

*Response Does not comply. Could be achieved with Nintex development.*

* + 1. The ability to identify extensions accurately in order to ensure that only the correct students are withdrawn automatically.

*Response Complies.*

##### Prior learning and achievement

* + 1. The ability to define different types, business rules, measurements and EPI’s for the options of prior learning that exist, i.e. RPL, APL, APAA, AA.

*Response Complies.*

* + 1. The ability to formalise the process to record and maintain data related to both assessment and approval of different prior learning types.

*Response Complies.*

* + 1. The ability to place applications for enrolment linked to prior learning into a holding area for review.

*Response Complies.*

* + 1. The ability to use prior learning applications to define projected learning plans for students.

*Response Does not comply.*

* + 1. The ability to apply fees and charges as appropriate and specific to each prior learning type.

*Response Complies.*

##### Scheduling and allocation of tutors to courses

* + 1. The ability to allocate tutors to courses, taking into account numerous, flexible inputs.

*Response Partially complies*

*Students may be assigned to cohorts and classes with a space to capture the course leader..*

* + 1. The ability to set primary and alternate contacts for different roles, and potentially link to Employee information

*Response Does not comply.*

* + 1. The ability to connect to Open Polytechnic's calendaring functionality and display when tutors are away, and who the delegated alternatives for course contacts are.

*Response Does not comply.*

* + 1. The ability to link students based on different parameters to a tutor, e.g. student surnames, geographical area or weighted workloads, and to be able to change those parameters at will.

*Response Does not comply.*

* + 1. The ability to easily change an allocation of students from one tutor to another tutor, or multiple other tutors, based on tutor workloads.

*Response Does not comply.*

* + 1. The ability to set quotas against a tutor.

*Response Partially complies.*

* + 1. Student allocation against a tutor needs to roll-over from one enrolment period to the next.

*Response Does not comply.*

##### Scholarships

*The system should have the ability to:*

* + 1. Administer scholarships to students.

*Response Does not comply.*

*Please see Appendix X Scholarships*

* + 1. Allocate funds associated with scholarships to the correct cost centres.

*Response Does not comply.*

*Please see Appendix X Scholarships*

* + 1. Identify students who are on scholarship.

*Response Does not comply.*

*Please see Appendix X Scholarships*

* + 1. Identify scholarship(s) awarded when viewing a student's information.

*Response Does not comply.*

*Please see Appendix X Scholarships.*

* + 1. Cater for scholarships wherever they are granted from, internal or external to the organisation, including multiple granting departments from within Open Polytechnic.

*Response Does not comply.*

*Please see Appendix X Scholarships*

* + 1. Allow for scholarships which auto-renew.

*Response Does not comply.*

*Please see Appendix X Scholarships*

* + 1. Allow for one-off awards of scholarship grants.

*Response Does not comply.*

*Please see Appendix X Scholarships*

* + 1. Track some scholarship awards against pre-determined budget levels per year, with the additional ability to cap those awards when the budget limit is reached.

*Response Does not comply.*

*Please see Appendix X Scholarships*

* + 1. Register a closing date for applications for certain scholarships, and to prevent applications after that date.

*Response Does not comply.*

*Please see Appendix X Scholarships*

* + 1. Ensure that scholarships are zero-GST rated.

*Response Does not comply.*

*Please see Appendix X Scholarships*

* + 1. Allow for scholarships that must be applied for as well as those that are internally awarded without active application.

*Response Does not comply.*

*Please see Appendix X Scholarships*

##### Student support

*Staff must have the ability to capture and manage information for the purpose of identifying pastoral care or other support needed by students to manage academic progression.  We wish the tool to assist us in delivering different support to different individuals, based on their unique needs. This should include:*

* + 1. The ability to search for a student based on user defined criteria.

*Response Complies.*

* + 1. The ability to monitor/manage different types of student progress, e.g. study, engagement and non-engagement.

*Response Does not comply.*

*Partially complies (through using assessment due date and reporting against this).*

* + 1. A complete dashboard of student information, including first, last and preferred names.

*Response Complies.*

* + 1. The ability to see course leader or tutor information within the same view as the student’s information.

*Response Does not comply.*

* + 1. The ability to identify, pre- and post-enrolment, academically ‘stellar’ and ‘at risk’ students based on given criteria, e.g. results to date.

*Response Partially complies (through reporting on defined criteria).*

* + 1. Students must be able to be assigned to multiple cohorts.

*Response Partially complies.*

* + 1. Tracking and monitoring a cohort of students against certain criteria, e.g. due dates.

*Response Partially complies.*

* + 1. The ability to assign a mentor to a student at enrolment or any time, and alert the mentor of the allocation.

*Response Does not comply.*

* + 1. The ability to record and use a preferred method and time of contact.

*Response Does not comply.*

* + 1. The ability to trigger automated communications at key success points in study.

*Response Complies.*

*Will extend Nintex, see Assumption 2*

* + 1. The ability to automatically record emails sent to students against a student’s record.

*Response Complies.*

*This behaviour is possible using the Standard Communications Engine.*

* + 1. The ability to accommodate students with disabilities and other special circumstances.

*Response Complies.*

* + 1. Automatic notification when a student with disabilities enrols.

*Response Complies.*

*Will extend Nintex, see Assumption 2*

* + 1. Automatic notifications to tutors and/or course leaders when students enrol, withdraw, etc.

*Response Complies.*

*Will extend Nintex, see Assumption 2*

* + 1. The ability to report on student’s withdrawals and enrolments etc.

*Response Complies.*

#### Financial management

*The tight integration between the enrolment/course components of a Student Management System and the financial elements mandates that the SMS solution provide financial management. This may either be within the SMS itself, or composed of a tightly integrated Financial Management Information System (FMIS). You must propose a solution of one type or the other, meeting the following requirements:*

##### Customer financials

* + 1. The ability to attach, or link to, documents and notes for financial transactions.

*Response Partially complies*

*Can link documents at the person level or in the contact log*

* + 1. Single views of student financials and their maintenance.

*Response Complies.*

* + 1. Full audit trail of all transactions.

*Response Complies.*

* + 1. Account for GST at the Standard rate, Exempt GST and Zero rated GST, whether it be as a quote or an actual transaction.

*Response Complies.*

*GST can be charged or entered as “no GST”.*

###### Student Enrolments

* + 1. Accept multiple payment types, e.g. cash, cheque, credit card, student loan and internet banking.

*Response Complies.*

* + 1. The ability to handle foreign currencies, as defined/chosen by Open Polytechnic (multi-currency aware).

*Response Does not comply.*

* + 1. Receipting of payments needs to be easily and automatically reconcilable to the bank statement.

*Response Does not comply.*

* + 1. Easy electronic bank reconciliation for all transactions made by or made to individuals, corporate clients and third parties.

*Response Does not comply.*

* + 1. Functionality to correct receipt details, e.g. when a payment is made against the incorrect student number.

*Response Complies.*

* + 1. The ability to transfer fees across accounts.

*Response Partially complies.*

*At the time the invoice is raised user may select an alternative debtor account.*

* + 1. Invoices must be issued at time of enrolment.

*Response Complies.*

* + 1. Invoices must comply with NZ GST tax requirements.

*Response Complies.*

* + 1. The ability to auto-enrol a student when their account is in credit (not earmarked for any other purpose, such as refunds to StudyLink), and all other business requirements are met.

*Response Complies.*

* + 1. The ability to manage / invoice part payments or enrolments in a later period.

*Response Complies.*

###### Enrolled Students

* + 1. Automatic allocation of learning material costs to correct cost centres.

*Response Complies.*

* + 1. Automatic allocation of revenue and discounts to appropriate business units, course codes, contract codes and accounts. Generate reports of revenue by different criteria, e.g. SAC funded, full fee, discounts.

*Response Complies.*

* + 1. The ability to allocate additional fees to a student account, e.g. Third Party fees, discounts, annual fees, and associated library fees.

*Response Complies.*

* + 1. The ability to calculate and report agent commissions or delivery partners payable.

*Response Complies.*

* + 1. When a student transfers from one course to another, the financials should be transferred as well. In some cases the debts need to be re-aged.

*Response Complies.*

###### Overdue Accounts

* + 1. The ability to apply payments to suspended student accounts.

*Response Complies.*

*Artena uses ‘status’ on accounts and does not use ‘suspended’. Other features can be used to flag a student.*

* + 1. The ability to un-suspend (re-activate) student accounts.

*Response Complies (through ability to change student status).*

* + 1. The ability to set up automated debt collection processes, including sending of letters.

*Response Partially complies.*

* + 1. The ability to override automatic sending out of overdue notice letters.

*Response Does not comply.*

* + 1. The ability to set a student account on hold for non payment. There should be both automatic and manual processes for this.

*Response Partially complies.*

* + 1. The ability to stop marks from being entered for a student who is in debt.

*Response Does not comply (results can be withheld).*

###### Corporate / Third Party Customer Accounts

* + 1. The ability to generate multi-page invoices, and to copy invoices and statements for corporate clients.

*Response Complies.*

* + 1. The ability to transfer debts from student accounts to corporate accounts as required.

*Response Complies.*

* + 1. The ability to invoice at different periods of Open Polytechnic’s choosing, e.g. monthly, semesterised, quarterly.

*Response Complies.*

* + 1. The ability to create other customer related invoices, statements and credit notes.

*Response Complies.*

* + 1. The ability to interface customer systems to FMIS, as appropriate.

*Response Complies.*

* + 1. Assign accruals and produce invoices, statements, and credit notes to third parties.

*Response Complies.*

* + 1. The ability to pay agent commissions for students referred.

*Response Complies.*

*Artena is able to track commissions and payments for agents with payment through the FMIS.*

###### Refunds

* + 1. A refund workflow process is required which will assist with the processing of refunds from enrolments to finance, including the ability to route approvals for refunds.

*Response Does not comply. Could be achieved with Nintex integration..*

* + 1. Refund in foreign currency.

*Response Does not comply. Could be achieved with Nintex integration..*

* + 1. Where accounts are in credit, they should be easily reported and assessed for the need for a refund. Authorised staff should be able to easily reverse the original invoice with accompanying transactions, and a second authorised person should be able to approve the refund.

*Response Complies (Artena uses Credit Notes for reversing invoices; other transaction types can be reversed).*

* + 1. The ability to refund through DPS, cheque, E-gate, internet banking, or to a credit card.

*Response Does not comply (issuing of money is performed by the FMIS based on data that can be provided by Artena).*

* + 1. Visibility of original payment details is required.

*Response Complies.*

* + 1. The ability to split refund payments to multiple accounts, including transferring credit from student accounts to StudyLink, where periodic disbursements are made.

*Response Complies.*

* + 1. The SMS needs to account for disbursements that are not related to students.

*Response Complies.*

* + 1. Maintain separation of duties between roles to maintain good controls and ensure refunds only go to the source of the original payment.

*Response Complies (actual payment of money is performed outside of Artena by clients).*

###### Statements

* + 1. The ability to age debtor balances.

*Response Complies.*

* + 1. The ability to both print and electronically send statements.

*Response Complies.*

* + 1. Statements should be easily created or printed, (and recreated and reprinted) for transmission to the customer.

*Response Partially complies.*

*Artena does not currently allow statements to be recreated*

##### Fees and academic structure

* + 1. The academic structure needs to be easily replicated within the Fee structure.

*Response Complies.*

* + 1. The SMS needs to support version control around fees structures and also keep a full history of changes.

*Response Complies.*

* + 1. Different fees can be allocated to the same course.

*Response Complies.*

* + 1. The SMS should be able to cater for fee exceptions on a per course basis as well as per student basis. This could include fee free adjustments, specials and other discounts or premiums.

*Response Complies.*

* + 1. The ability to export and import fees.

*Response Complies.*

* + 1. GST should be set at a course level and not as a global system setting.

*Response Complies.*

##### Fees management

* + 1. ***The ability to generate SAC, tuition and administrative fees based on enrolled courses, student status, and other defined criteria using fee calculation rules.***

*Response Complies.*

* + - 1. The ability to set up rolling annual administration fees.

*Response Does not comply.*

* + - 1. The ability to set up fees based on programmes, courses, and/or course combinations.

*Response Complies.*

* + - 1. Flexibility to alter fees and manage related course enrolment periods.

*Response Complies.*

* + - 1. The ability to set up and select financial fees based on period.

*Response Does not comply*

*Fees are configured per Offering.*

* + - 1. Where discounts are applied, the original fee needs to be, and remain, visible.

*Response Does not comply.*

*(Discounts are available but the original fee is not visible). A project is currently in analysis to enhance this area.*

* + - 1. Discounts must be applied dependent on fee type, third party contract, customer contract and marketing campaigns, and any combination thereof.

*Response Does not comply. A project is currently in analysis to enhance this area.*

* + 1. ***The ability to set up pricing for products and services, including discounts and fees we collect on behalf of other organisations, e.g. NZIM and services such as graduation fees and related items to purchase.***

*Response Does not comply.*

* + - 1. The ability to set up multiple fee types for an offering.

*Response Complies.*

* + - 1. The ability to use multiple currencies and cater for NZ GST requirements.

*Response Does not comply.*

*Multiple Currencies are not supported in Artena*

* + 1. ***Fees differ across academic years and there are multiple fee types. It is expected that the system will cater for these as well as have flexible fee charging capabilities - this includes discounts, adjustments and commission payments on an individual or group basis. All of this capability should be easy to use.***

*Response Complies.*

*Artena has flexible and easy to use enrolment fees and miscellaneous fees components. Discounts are handled by way of credit notes.*

* + - 1. Prior years’, current year’s and future years’ fees should be visible at all times.

*Response Complies.*

* + - 1. The ability to maintain and report fees (and discounts) based on period of confirmed enrolment.

*Response Complies.*

* + - 1. The ability to maintain and report SAC funding based on period of consumption of enrolment.

*Response Complies.*

#### General

##### Placement and cooperative learning

*Several programmes at Open Polytechnic rely heavily on groupings of students for student support, placement into work experiences, or advice/placement into course offerings. The ability to support in-course workplace-based assessments of student performance is essential, as is the ability to allocate students to either employers or regional lecturers.*

* + 1. The ability to allocate and maintain students to groups within a course offering, e.g. geographically or using other flexible selection criteria.

*Response Complies.*

* + 1. The ability to view a cohort and send relevant information to them by their preferred method of contact or a specified method where necessary.

*Response Complies.*

* + 1. The ability to invoice students where necessary for workshop attendance and material costs.

*Response Complies.*

* + 1. The ability to manage venues - Size, Booking, and Payments of venue fees to link into the FMIS.

*Response Partially complies. Could be achieved with Syllabus Plus integration with a question regarding FMIS integration.*

* + 1. The ability to link workshops to courses.

*Response Partially complies. (assessments of type workshop could be set up).*

* + 1. The ability to schedule and document individual interviews with prospective students, in various locations.

*Response Complies.*

##### Calendars

* + 1. Functionality will be available to establish and maintain various calendars relating to core business functions, e.g. teaching, admission, enrolment, and financial.

*Response Does not comply.*

* + 1. The financial calendar needs to be defined that will include setting dates for month ends, year ends, and roll over periods. The financial calendar should not have any impact on the academic calendar or academic functions.

*Response Does not comply.*

* + 1. The financial calendar will control the open and locked periods, as well as financial years, within the solution.

*Response Does not comply.*

* + 1. The financial calendar must have accounting periods (calendar months and trimesters) plus month and year end functions for accounting transactions even if it doesn’t have debtors, creditors and general ledgers or modules.

*Response Does not comply.*

* + 1. The ability to set up a Programme and Course review calendar.

*Response Does not comply.*

* + 1. Open Polytechnic will be able to use different calendars, including fixed-date trimesters as well as rolling enrolment periods, to meet separate processing or reporting requirements. These should be dynamic and able to integrate with external third-party software.

*Response Does not comply.*

* + 1. The associated timetabling feature will work in conjunction with both exam scheduling and the workshop scheduling needed for several programmes.

*Response Does not comply.*

* + 1. Flexibility around setting dates and the ability to securely override them.

*Response Does not comply.*

##### Reporting

* + 1. The SMS should enable the Open Polytechnic to identify and forecast EFTS.

*Response Complies.*

* + 1. The SMS needs to support industry-standard Business Intelligence (data warehousing) solutions.

*Response Complies.*

* + 1. A well defined data dictionary is required to be able to identify the correct data for user defined reports. Labels/descriptions of fields need to be clear and descriptive.

*Response Complies.*

* + 1. All fields can be reported on.

*Response Complies.*

* + 1. All items should be reportable upon, easily.

*Response Complies.*

* + 1. It is expected that a standard set of reports will be available for all business functions. Some examples of these are:
       - * Student detail reports
         * Study history reports
         * Course completion reporting
         * Student progress reporting
         * Academic portfolio reporting
         * Financial checking reports, both transactional and batch
         * NZ Government compliance reporting
         * Log of all reports run
         * Audit trail reports
         * Exception reports

*Response Complies.*

##### Third party customer and vendor contracts

*Open Polytechnic requires the ability to manage contracts with third parties, including assigning students to contracts, set up and maintenance for provision of products and services, and billing and reporting against these contracts. Management of contracts extends to advance notification of contract expiry and other legal concerns.*

* + 1. Third parties should have online access to the SMS to view their account as relates to their contracts, which includes information dependent on the contract, such as:
       - * Students enrolled
         * Financial Details
         * Reprinting of invoices
         * Reporting
         * Contract information available
         * EFT values per course and enrolments
         * Electronic copies of contracts.

*Response Partially complies.*

*Access is possible, assuming the application is externally hosted, however additional filtering may be required to limit certain views.*

* + 1. Role access defined for third parties should have strong controls around the student information that is displayed.

*Response Complies.*

* + 1. Validations during enrolments should alert staff of contract end dates.

*Response Complies.*

* + 1. Based on defined criteria, notifications should be sent to designated individuals of contract end dates.

*Response Complies.*

*Will extend Nintex, see Assumption 2.*

* + 1. Contract summary information should be visible to staff.

*Response Complies.*

* + 1. The ability to manage a cohort of students electronically.

*Response Complies.*

* + 1. The ability to copy and maintain contracts.

*Response Complies.*

* + 1. The ability to manage contract types, e.g. vendor /customer, changes in agreements across years, head office from local office.

*Response Does not comply.*

### FUNCTIONAL REQUIREMENTS, NON-CORE IN SMS

*All of the requirements listed below are requirements that must be met by Open Polytechnic, but which need not necessarily be inside the SMS Solution. Please provide options (and prices) for meeting these needs.*

#### Student relationship management

##### Communication and letter generation

*Open Polytechnic wants flexible letter generation functionality that allows for customisation, but we are not looking for everyone to be able to edit everything. “Editable” is to be able to tailor within limits, yet maintain consistency of message and format as an organisation.*

* + 1. The ability to link correspondence sent to the student portal, so that they can view it from within the portal.

*Response Does not comply.*

* + 1. The ability to suppress various communications of a course based on different criteria.

*Response Does not comply.*

* + 1. The ability to produce letters and documents in a student's native language.

*Response Partially complies. (SMSS has a project underway to support UTF-8).*

* + 1. Template based generation of letters, e.g. cover letters, address pages.

*Response Complies.*

* + 1. The ability to set up various personalised letter templates for the Welcome Pack, e.g. Who is the tutor? How to contact us? Welcome letter from CEO.

*Response Complies.*

* + 1. The ability to generate Assessment Return Sheets.

*Response Complies.*

* + 1. The ability to define certificate formats and to generate them on completion. The ability to automatically send out certificates for achievements, such as professional development.

*Response Partially complies. Could be achieved with Nintex integration..*

* + 1. Support for automatic generation of web and PDF documents, e.g. Calendar, Prospectuses and Guides to Enrolment (in conjunction with appropriate publishing tools).

*Response Partially complies (PDFs supported).*

* + 1. The ability to text to students, including sending out bulk texts.

*Response Complies.*

* + 1. The ability to set up and maintain standard communications, e.g. texts, e-mail and letters.

*Response Complies.*

* + 1. The ability to disable or enable automatic messaging to selected students for a selected period of time.

*Response Complies.*

*Partially complies. Could be achieved with Nintex integration.*

##### Email connectivity

*It is mandatory that the SMS Solution interfaces with Open Polytechnic's email system to provide the following functionality:*

* + - * + Incoming emails can be routed directly to the student file (either before or after reading).
        + The solution is capable of generating an email.
        + Enrolment applications should receive automatic email responses.
    1. Please describe the extent of your interaction with email systems. This should be in plain English, but additional technical detail is greatly appreciated.

*Response Artena supports sending of emails through a client’s SMTP server.*

##### Life-long relationshipS (Alumni)

*The ability to track, communicate with, and manage alumni, including:*

* + 1. The ability to report on graduate destinations and outcomes.

*Response Does not comply.*

* + 1. The ability to define pre-requisites for a student to qualify as an alumnus.

*Response Does not comply.*

##### Managing recruitment and enquiries

*The ability to support the recruitment & enquiry process from application through to enrolment, either within the solution or via standard connections to a third party application. If the latter, please identify your recommended third party application. Included in this will be:*

* + 1. Contact management capabilities that will allow for the recording and managing of communications between prospective students and Open Polytechnic.

*Response Complies.*

* + 1. Support for the distribution of promotional and informational materials to prospects.

*Response Complies.*

* + 1. Support, implementation, and measurement of marketing campaigns. This includes targeting groups of students for special offers.

*Response Complies.*

*In more detail, the solution proposed should have the ability to:*

* + - 1. Send out automated follow-up communications to prospects/students who have enquired. Open Polytechnic to define follow-up criteria, i.e. period of time since enquiry but without application having been received.

*Response Complies.*

* + - 1. To recognise if the follow-up communication is to an existing student or a new prospect, and respond appropriately.

*Response Complies.*

* + - 1. Record generic contact and specific campaign information against a prospect/student and have the ability to report and analyse these.

*Response Complies.*

* + - 1. Effectively handle duplicate prospect/student records.

*Response Complies. Additionally, Artena’s process to create a new person minimises duplicates.*

* + - 1. Easily view all communications, including attempted communications, for a specific prospect/student, or all communications to all prospects/students on a given date, in a single view.

*Response Complies.*

* + - 1. Differentiate between prospects and students, as well as convert a prospect to a student and keep a record of all prior communications.

*Response Complies.*

* + - 1. Do one-off campaigns.

*Response Complies.*

* + - 1. Send one-off campaigns within a short timeframe, i.e. 24 hours from inception to implementation.

*Response Complies.*

* + - 1. Follow up on campaign communications sent out to prospects/students, individually or to a cohort.

*Response Complies.*

* + - 1. Send out different types of follow-up reminders, e.g. emails, post cards, letters.

*Response Complies.*

* + - 1. Send out all communications via each student's selected preferred method of contact.

*Response Does not comply.*

* + - 1. Identify opt-out options for students who do not wish to receive certain marketing communications.

*Response Partially complies. A flag exists to indicate that further contact is permitted for Enquirers.*

* + - 1. Identify which marketing campaign a prospect/student is responding to.

*Response Complies.*

* + - 1. Report on each campaign, including number of EFTS received, number of student enrolments received, and number of course enrolments received.

*Response Complies.*

* + - 1. The ability to customise campaigns based on a student’s current level of study, e.g. marketing level 4 courses to someone in a level 4 one now, but not marketing level 1 and 2 courses to them.

*Response Complies.*

* + - 1. Record and appropriately apply special offers, and track enrolments linked to these offers.

*Response Complies.*

* + - 1. Record detailed information about a student’s 'Do Not Contact' request or status, i.e. identify if DNC is only applicable to certain types of communications or communication methods.

*Response Does not comply (however a Deceased flag is available).*

##### Telephone and SMS (texting)

*It is desirable that the system interfaces with Open Polytechnic's telephony system to provide the following functionality:*

Upon a student entering their student number into the telephony system (after a voice prompt to do so), this number will be sent to the system to retrieve the biographical screen for that student for the person handling the call.

The telephony system will record a tracking/sequence number for each call that arrives. That tracking number to be assigned inside the SMS or CRM to each student as it relates to communication notes, potentially with links to the audio recordings for those calls.

Allow for recording of types of calls made - e.g. query, complaint, campaign response, etc.

**(Optional)** When the call is transferred, the biographical screen will follow the call, and will "pop up" on the screen of whoever receives the transferred call.

* + 1. Please describe what capabilities for these requirements are provisioned or can be developed within your solution.

*Response Does not comply. Discussion would be needed with Dimension Data to discuss how this integration might be achieved. SMSS do have in-house expertise in web enabled PBX.*

##### Notes

*Notes are important to maintain with each student, as a record of what has been discussed, and as a way for each person in the organisation to easily see what communication has already occurred. This must either be an integral part of the system or work seamlessly with a CRM, without separate screens or sign-ins. The overriding principle is to ensure that all touch points are visible across the organisation – who has talked with the student and when.*

* + 1. The ability to capture case notes (easily and securely) for a student or cohort, and to extract, query, report upon and analyse these notes. This extends to our partners that may need to connect to the system and add notes on their students that we care for.

*Response Complies. Access by partners is permissions driven.*

* + 1. Notes should be simple and intuitive. Examples include notes that are radio buttons, tick boxes or templates that are pre-defined.

*Response Complies.*

* + 1. There should be easy entry of student notes. Where communications are sent to students using an external tool, links need to exist between that tool and the repository to update student notes accordingly.

*Response Complies. Entry is very straightforward and intuitive. Communications are recorded in the correspondence focussed, contact area.*

* + 1. Notes screens should expand easily so that a user can view the full contents of a specific note.

*Response Complies.*

* + 1. The last note entered for a student should be flagged or highlighted, in order to make the last contact easy to see.

*Response Complies. Notes can be easily sorted, using the familiar point and click on any of the fields, in this case the date field.*

* + 1. Notes need to be searchable and reportable against user defined criteria, e.g. per student, programme, course, assessment, user created, cohort or date selection.

*Response Partially complies.*

* + 1. Notes should cover important items, not just the base progress (those should be a tick box/workflow function).

*Response Partially complies. (Notes can be entered on any item).*

* + 1. Student notes should be updated where correspondence is sent to a cohort of students.

*Response Complies. The record of all correspondence is in the Student’s Contact Log.*

* + 1. The ability to add tags as defined by Open Polytechnic to Notes.

*Response Does not comply.*

* + 1. An audit trail of when and who created the student note.

*Response Complies.*

* + 1. The ability to set up a follow up reminder against a note.

*Response Complies.*

* + 1. The ability to suppress or delete a note on a secure basis.

*Response Complies.*

* + 1. During the enrolment process, all notes should be easily viewed in a consolidated manner.

*Response Complies.*

##### Complaints and appeals

* + 1. Please describe if and how your solution facilitates recording and tracking of complaints and appeals.

*Response Complies.*

*Complaints and Appeals can be recorded in the Support Services area which allows user defined categorisation for necessary structure, and the flexibility to record free text detail and dates. Referral information, to whom and any associated referral comments can also be noted. There is also provision to indicate that an issue has been resolved.*

##### Graduations

*Open Polytechnic intends to use the system to plan and produce graduation and other formal ceremonies. This will include:*

* + 1. Receive validation of student awards from SMS.

*Response Complies (if the award is qual completion).*

* + 1. Allocating prizes.

*Response Does not comply.*

* + 1. Simply and easily producing customised/individualised letters.

*Response Complies. Users can create, use and reuse their own templates.*

* + 1. Allowing students to choose which ceremony to attend, and having the option to change this if required.

*Response Partially complies.*

* + 1. Storing details about ceremony locations, including maps and seating charts.

*Response Does not comply.*

* + 1. Managing the invitations for guests.

*Response Partially complies.*

* + 1. Storing student information (such as hat size) in the system.

*Response Complies (using a UDA).*

* + 1. Notation of special needs.

*Response Partially complies.*

* + 1. Manage the hiring of regalia, including matching with student information, ability to order, pay for and record the details online against both the selected ceremony and student.

*Response Does not comply.*

* + 1. Attribute student costs to their accounts.

*Response Complies.*

* + 1. Extract reports on attendance.

*Response Partially complies.*

##### Student support

* + 1. The ability for staff to view all communication between a student and Open Polytechnic. When certain communications are hidden by authorised staff, others will see the presence of, but not the content of, those notes.

*Response Partially complies.*

*In the Contact log, all communication with the student is recorded and the user can choose whether to see just contextually relevant notes or all contact types. Additionally, point and click functionality supports ease of sorting and viewing.*

*The viewing of Notes is limited screen by screen, not field by field.*

* + 1. The ability to create automated communications at any time based on parameters defined, e.g. 3 months prior to enrolment.

*Response Partially complies. Using Nintex. See Assumption 2.*

* + 1. The ability to attach emails to a student record, preferably in an automated fashion.

*Response Complies. Additionally can attach documents, spreadsheets and other formats.*

* + 1. The ability to generate class lists for tutors, including an easy and user-friendly way to view these lists.

*Response Complies. Using Nintex. See Assumption 2.*

*The dashboard allows easy selection and finetuning while the point and click sorting gives each tutor the flexibility to individualise the list to their personal way of thinking.*

* + 1. The ability to create class list based on certain parameters.

*Response Complies.*

* + 1. The ability to email class lists.

*Response Complies.*

#### General

##### Inventory / dEspatch

The solution must ***either*** have industry standard connections to a third party despatch application or have its own integrated module which will be able to manage and administer the creation and distribution of print material.  This includes:

* + 1. ***Receipt, storage and distribution of printed materials and other auxiliary materials as required, e.g. cd's and books****.*

*Response Complies using Technology One’s Supply Chain module.*

* + - 1. The ability to identify, manage and distribute workshop and short course material.

*Response Complies using Technology One’s Supply Chain module.*

* + - 1. The ability to send out automatic notifications of parcels and their tracking details being despatched.

*Response Complies using Technology One’s Supply Chain module.*

* + - 1. The ability to view changes made within the programme and course structure.

*Response Complies.*

* + - 1. The ability to link stock to courses. This includes setting different material against a course based on different versions and their release dates.

*Response Complies using Technology One’s Supply Chain module.*

* + - 1. The ability to hold despatch of materials till the relevant enrolment period is met.

*Response Complies using Technology One’s Supply Chain module.*

* + 1. ***Centralised inventory monitoring and control, including estimation of print requirements based on enrolment numbers.***
       1. The ability to view and report on historical trends per course.

*Response Complies.*

* + 1. ***Support the picking process.***
       1. The generation of pick lists and printing of mailing labels (this includes the ability to print and scan barcodes).

*Response Does not comply. Development required.*

* + - 1. The ability to reprint and resend an entire Welcome Pack as required.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + - 1. The ability to identify and pick optional materials as requested by students.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + 1. ***Inventory and Financial Requirements*** 
       1. The ability to generate stock codes automatically.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + - 1. The ability to create stock items as “lot traceable” and define location tracking by bin, row and rack.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + - 1. The ability to set up and sell zero value stock items.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + - 1. The ability to receipt stock items via purchase order with manual price entry, with notification where price variances occur based on user criteria.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + - 1. Purchasing capability, including issuance of purchase orders, from within the system or maintaining reconciliation for purchases created in the FMIS.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + - 1. Support inventory valuation basis, i.e. FIFO, LIFO, weighted average.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + - 1. The ability to do inventory quantity and pricing adjustments.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + - 1. The ability to distribute costs to the appropriate cost centre and course.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + - 1. Stock take capabilities - this includes scheduling stock takes, printing stock take sheets, capturing of results and making the necessary adjustments.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + - 1. Standard stock reports, e.g. Stock Valuation Report, Stock on Hand Reports, Obsolete Stock Reports.

*Response Complies using TechnologyOne’s Supply Chain module.*

* + - 1. The ability to set up automated messages to notify designated staff when new stock items are added.

*Response Complies using TechnologyOne’s Supply Chain module and potentially Nintex workflow.*

* + - 1. When a stock item is issued, the cost should be allocated to the course and business unit of that item by default. However there should be an ability to change that assignment on a manual approval basis.

*Response Complies using TechnologyOne’s Supply Chain module.*

##### Workflow

*Many student administration processes involve multiple staff members and decision-making across Open Polytechnic.  Workflow is required to automate, track and improve these processes.*

* + 1. The ability to define new workflows including screens, validations, rules, alerts and shared queues.

*Response Partially complies. Could be achieved with Nintex integration.*

* + 1. The ability to escalate tasks within a workflow either manually or automatically.

*Response Partially complies. Could be achieved with Nintex integration.*

* + 1. The ability to integrate with third party workflow tools.

*Response Complies.*

* + 1. The ability to update student notes with the outcomes generated within a workflow.

*Response Partially complies. Could be achieved with Nintex integration.*

* + 1. The ability to update information received from third party workflows against the relevant records.

*Response Complies.*

* + 1. Alternate way of processing transactions when workflows fail.

*Response Complies.*

* + 1. Workflow capability to ensure answers to queries and action points are distributed to the correct contact points as efficiently as possible.

*Response Partially complies. Could be achieved with Nintex integration.*

* + 1. The ability to link and automate business workflow based on calendar events.

*Response Partially complies. Could be achieved with Nintex integration.*

***Examples where workflow is required:***

* + Admissions processing, including restricted and special admissions.
  + International student recruitment and admission processes.
  + Online Payments.
  + Post registration processing, including extensions, student initiated withdrawals, academic withdrawals, follow-up workflow based on a student's status.
  + Programme and course approval processes including changes to programmes or courses.
  + Programme and course closures and revisions with the ability to identify students which are affected by the changes.
  + Alerts for outstanding actions.
  + Assessment Marking.
  + Marketing campaigns.
  + Graduation.

##### Document management

*Open Polytechnic has a stand-alone document management system (DMS). The solution must interact with this DMS in order to achieve the following requirements:*

* + 1. The ability to store documents or link to them – to maintain a record/archive of what is sent out to students or third parties.

*Response Complies.*

* + 1. The ability to apply retention and disposal rules to archived documents. This could be as simple as the ability to delete when appropriate, and signed off.

*Response Complies.*

* + 1. The ability to store relevant documents to a student’s record and enrolment application, for example cross-credit information, letters from employers, prior study transcripts etc.

*Response Complies.*

* + 1. The ability to store relevant documents to programmes and courses.

*Response Complies.*

* + 1. The ability to search documents for relevant information.

*Response Does not comply.*

* + 1. The ability to link to Microsoft SharePoint solutions.

*Response Complies.*

* + 1. The ability to scan in documents rather than inputting them (OCR), e.g. cheques, and easily link to the student’s record at the appropriate level, e.g. course, application, qualification.

*Response Partially complies.*

##### Partner support

*In addition to requirements around contracts for partners, additional functionality to support partners who sponsor/refer students is required. This will include partner remote access to certain areas of the system to enable them to monitor student progress and generate reports, assist students in pastoral care, and potentially to enrol students directly.*

###### Partner Support

* + 1. Partners should have the ability to enrol or re-enrol students, based on criteria that are defined by Open Polytechnic.

*Response Complies.*

* + 1. Partners should have the ability to see the following information for a cohort of students:

Information on study progress.

Notification of completion of study.

Notices of assessment due dates and students at risk.

Block courses and workshop information, e.g. attendance, dates.

Notification of withdrawals and transfers.

Clear notification of when a student’s enrolment expires.

The ability to upload electronic information directly or via a ‘transfer file’ in order to minimise duplication of effort.

Student contact details.

*Response Partially complies.*

* + 1. Partners should be able to maintain student contact details.

*Response Complies.*

###### Pastoral Care

* + 1. The ability for partners to add student notes.

*Response Complies.*

* + 1. The ability to monitor student note activity by cohort.

*Response Does not comply, however the business objective may be met by other means within Artena.*

* + 1. LLN capture and share information.

*Response Does not comply (to TEC’s Assessment Tool). Development required..*

* + 1. Flag students with special needs, e.g. disabilities.

*Response Complies.*

* + 1. Partners should be able to enter marks for their students where work-based results are required.

*Response Partially complies.*

##### Workshop Management

* + 1. The ability to store information on Open Polytechnic preferred venues, including location, size, equipment available (e.g. data projector), contact person at venue, tea & coffee facilities, and price. This should extend to client-provided venues as well as commercial ones.

*Response Partially complies. Could be achieved with Syllabus Plus integration.*

* + 1. The ability to track attendance at workshops compared to the booked venue and to alert staff when the room is booked to capacity.

*Response Partially complies. Could be achieved with Syllabus Plus integration.*

* + 1. The ability to restrict access to venue bookings to specific staff – this should be individually adjustable per room.

*Response Partially complies. Could be achieved with Syllabus Plus integration.*

* + 1. The ability to pre-book attendees and determine the room needed at a set point in time based on the number of attendees confirmed.

*Response Partially complies. Could be achieved with Syllabus Plus integration.*

* + 1. The ability for students to pay for their attendance via credit card at time of registration.

*Response Partially complies (the Artena batch payment function would require an interface to DPS).*

* + 1. The ability to record assessment results and report these to students and third parties.

*Response Complies.*

##### Reporting

* + 1. The ability to extract simple reports from the student information screen.

*Response Complies.*

### OUR NON-FUNCTIONAL REQUIREMENTS

Below are additional mandatory requirements which will contribute to the success of the system. Please elaborate on each one how your system complies.

##### Accessibility

* + 1. The solution should be WCAG compliant, to the version that will be current when we are to “go live” with the solution.

*Response Does not comply.*

##### Adaptability

* + 1. The solution should be, as much as possible, customizable or configurable by Open Polytechnic in order to update our unique needs in a timely manner.

*Response Complies. Artena is highly configurable, provides a lot of direct control over set up to an Administrator and is used by clients in some areas to achieve outcomes through application of different business processes.*

##### Auditability

* + 1. The ability to audit data converted from the current SMS into your solution.

*Response Complies.*

* + 1. The ability to track and report on bulk changes made within the system.

*Response Complies.*

* + 1. The ability to generate audit trail reports based on user defined criteria.

*Response Complies.*

* + 1. The ability to kick off a workflow at user defined points within the system to notify staff of changes made to selected data.

*Response Partially complies. Could be achieved with Nintex integration.*

* + 1. Compliance with all NZ statutory and regulatory requirements, as per the Education Act and the NZ Public Records Act.

*Response Complies. The special dispensation granted by MoE is fully understood and can be incorporated. Artena is well established in the NZ market with it’s 18 clients being fully compliant in all aspects of NZ regulatory reporting.*

* + 1. The system will be able to audit all transactions within the system, and maintain audit trails. This auditing shall be configurable by Open Polytechnic, which can define when to run audits on any particular area of the system.

*Response Complies.*

* + 1. Provision of meaningful transaction information for different Roles.

*Response Complies.*

##### Availability

* + 1. The system should be available 24 hours a day, 7 days a week, every day of the year. Please specify any impact to this that maintenance or updating may have.

*Response Please refer to Appendix X Artena Hosting Solutions.*

##### Compliance

* + 1. The system must comply with all relevant New Zealand legislative and regulatory requirements, at implementation and ongoing.

*Response Complies.*

* + 1. Please specify if and how this cost is passed on to Open Polytechnic.

*Response Maintaining compliance is included in the annual licence fee.*

*SMSS notes that should TEC or other parties require major compliance changes funding for this activity might need to be reviewed.*

##### Configuration management

* + 1. The ability to audit software changes and new releases.

*Response Complies. SMSS uses SVN for version control.*

##### Cross-platform, cross-device compatibility

***For staff:***

* + 1. The ability to do everything offsite that you can do onsite – with the appropriate security (including flexible roles and permissions).

*Response Complies. As a web based tool Artena can be easily accessed off site if the appropriate security is in place.*

* + 1. The ability to reply to any request the student makes.

*Response Complies (subject to authorisation provided).*

* + 1. The ability to perform actions on behalf of the student.

*Response Complies (subject to authorisation provided).*

* + 1. The ability to provide pre-defined reminders about assessment due dates.

*Response Partially complies. Could be achieved with Nintex integration.*

* + 1. The ability to send notifications, either manually or automatically.

*Response Complies.*

* + 1. The ability to send financial reminders, e.g. outstanding balances.

*Response Complies.*

***General concepts:***

* + 1. Integration with Single Sign On.

*Response Does not comply.*

* + 1. Browser agnostic (Level 2 - Yahoo graded browser standard).

*Response Complies. Artena runs on any browser capable of supporting Flash Player 10.2 or higher.*

* + 1. Comprehensive API to allow developers to access functions.

*Response Complies. SMSS notes that this API is not currently available to clients as per the Software Licence and Support Agreement (para x )*

*Please see Appendix X Artena API and Web.*

* + 1. Access is available via mobile devices (such as Smartphones and Tablets) for Open Polytechnic staff.

*Response Access is dependent on the security parameters in place which are not within Artena’s control. If the device is capable of running Flash Player 10.2 or higher then Artena is accessible. For devices that do not support Flash Player running a remote desktop is an option.*

*SMSS notes that Artena is not optimised for mobile devices.*

* + 1. Secure remote access to the SMS. Open Polytechnic should have the ability to define the areas accessible per login. This access needs to be 24x7, via internet from anywhere in the world.

*Response Complies. SMSS notes this is hours of access and security of remote access are dependent on the hosting solution provided and not within Artena’s control.*

##### Disaster recovery

* + 1. The system should be quickly recoverable in the event of an outage. Please describe what options are built into the solution, and what additional options and recommendations you have for us.

*Response Please refer to Appendix X Artena Hosting Solutions.*

* + 1. Please detail typical user experiences and timeframes for recovery, e.g. which staff is required, how long from start to end of outage, was data lost.

*Response Please refer to Appendix X Artena Hosting Solutions.*

##### Documentation

* + 1. Context-sensitive help tips should be available on each screen, with access to more in-depth help easily accessible, preferably user definable and editable with restricted access to make it locally sensible.

*Response Partially compliant.*

*Artena provides online help but this is not context sensitive. The help documentation is already locally sensible, given Artena is a NZ product.*

* + 1. In built training tools – pop up hovers (tooltips), etc.

*Response Complies. The help files are html pages.*

*SMSS notes that clients, rather than customise these files choose instead to refer to them if needed as part of, or the basis for, their own business process documentation.*

* + 1. Help notes should be customisable by both back end administrators and users.

*Response Complies. The help files are html pages.*

*SMSS notes that clients, rather than customise these files choose instead to refer to them if needed as part of, or the basis for, their own business process documentation.*

* + 1. Online training notes should also be readily accessible from within the solution.

*Response Artena online help provides system documentation through web pages. Please refer to Assumptions for proposed split of documentation responsibilities.*

* + 1. All business rules should be easily found on/for each screen.

*Response Please refer to Assumptions for proposed split of documentation responsibilities.*

* + 1. All guidelines (for each screen) to come up dynamically when requested.

*Response Does not comply.*

* + 1. Keyword searches should be enabled in relevant parts of the solution.

*Response Does not comply (as it relates to documentation).*

* + 1. Diagrams of process flow in the system should be online, so that people can see downstream impacts of their actions.

*Response Please refer to Assumptions for proposed split of documentation responsibilities.*

* + 1. A full set of training manuals/videos is needed. These manuals should be printed for use by Open Polytechnic trainers.

*Response Please refer to Assumptions for proposed split of documentation responsibilities.*

* + 1. Detailed technical documentation needs to be available, with the ability to access the latest version when required.

*Response Partially compliant.*

*SMSS provides a technical implementation guide which is available with each Release and also from the Community web site.*

##### Extensibility

* + 1. The system should have a good API and real-time web services that allow its capabilities to be extended without any need for major changes. Please describe why your solution will be easy to extend in future.

*Response Please see C.7.9.*

##### Interoperability and integration

* + 1. The solution should ensure that all work can be done with one interface and with one log-in.

*Response Complies. SMSS notes that the Security Administrator has a separate interface and log in.*

* + 1. Transparency of information about students is required across the SMS. This includes biographical information, communications to/from students, financial information as well as students’ study history.

*Response Complies.*

* + 1. Please provide your API documentation (a link to the full suite, if published online, is acceptable).

*Response Please see C.7.9.*

* + 1. Please describe your solution's Single Sign On capability.

*Response Please see C.7.7.*

* + 1. The SMS’s integration capability must include Web Services capability to provide real-time dynamic updates. Provide a description of the Web Services available from the SMS, broken down by current and planned.

*Response Please see C.7.9. (+C10.1)*

* + 1. Describe any practical constraints or limitations on the use of these Web Services.

*Response Please see C.7.9.*

* + 1. Describe your strategy for exposing additional functionality via Web Services.

*Response Please see C.7.9.*

* + 1. Please confirm that your system integrates effectively with standard communication technologies, e.g. instant messaging, email, text messaging.

*Response Complies. SMSS notes that IM integration is not currently available.*

* + 1. The solution should be able to create messages within the SMS, tailored to the individual, to be transferred to other systems.

*Response Complies.*

##### Security

* + 1. Security around maintenance of information should be defined against different roles, ensuring that certain data is protected from accidental change but still allowing easy transparency/view of this data across the organisation.

*Response Complies.*

* + 1. The SMS must have robust standards-compliant security that can provide role and relationship based access to information. This access should be user-defined and provide for a variety of levels, including extending access out to remote third parties, both staff and other companies with which we do business. Describe how your access works, or if you integrate with third party identity management tools.

*Response Complies. Artena provides for authentication to Active Directory and authorisation through the Artena Security Manager.*

##### Usability

* + 1. The system should be user friendly and easy to understand, including:
* Being easy to learn.
* Helping users recover from errors.
* High level of satisfaction with day to day use of your product reported by other users of your system.

*Response Complies.*

* + 1. Use plain English, not technical terms, throughout all screens.

*Response Complies.*

* + 1. Easy access to see all of a student’s information.

*Response Complies. Subject to authorisation.*

* + 1. Needs to accommodate common disabilities, i.e. visual, cognitive, repetitive stress. Please describe what accommodations are available in your solution.

*Response Does not comply.*

* + 1. Either possess grammar and spell checking or have the ability to interactively link into a third party package or web browser which does. If the latter, please advise which packages and/or web browsers your solution currently interacts with.

*Response Does not comply.*

* + 1. The ability to have multiple sessions open for the same login at the same time.

*Response Complies.*

* + 1. Screens should be intuitive - screen design should be easy to read and easy to access information.

*Response Complies.*

* + 1. Screens need to be logical and flow correctly for processes.

*Response Complies.*

* + 1. Screens should be made with consistent movement, not different movements based on which screen is active.

*Response Complies.*

* + 1. The ability to easily drill-down for information, especially financial. Drill down navigation needs to include the ability to easily return to the start of the drill-down.

*Response Complies.*

* + 1. There should be unique screens/views for each role.

*Response Complies.*

* + 1. Both front-end (user view) and back-end (maintenance/set-up view) screens are needed.

*Response Complies.*

* + 1. The ability to localise text on screen labels to our own labels.

*Response Complies. SMSS notes this is for User Defined Attribute fields. Artena is a local product, so the remaining screen labels are already localised to NZ.*

* + 1. Allow for addresses in foreign (and English) languages.

*Response Does not comply. SMSS has a project underway to support UTF-8.*

* + 1. Accept and use international characters, e.g. macrons, umlauts.

*Response Does not comply. SMSS has a project underway to support UTF-8.*

* + 1. ***(Optional)*** The ability to have a single log-in which connects seamlessly to external websites such as NZQA and NSI, if supported by and allowed by the external providers.

*Response Does not comply.*

### OTHER DETAILS WE NEED IN YOUR RESPONSE

*The following areas must be addressed in your response.*

##### Architecture

* + 1. Provide a high-level description of the system architecture, including a high-level architecture diagram. Describe the underlying technology, including the version of each component, used by your solution. This should include operating system (OS), database management system (DBMS), programming tools and desktop client software. If your solution supports a range of OS and/or DBMSs, describe any limitations or constraints that may apply to a specific option, e.g. functionality available with Oracle DBMS but that isn’t available with Microsoft SQL Server.

Click here to enter text.

##### Browser-based

* + 1. All staff functions in the SMS should be achieved through industry-standard browsers on commonly used operating systems. Please describe the ones that you certify for use, with version numbers if possible. If your solution does not support browser based functionality, please describe the technical reasons why not.

*Response Artena requires a web browser capable of running Flash Player 10.2.*

##### Hosting

* + 1. Can your solution be virtualised? If so, what are the limitations of this we should be aware of?

*Response Complies.*

* + 1. Can your solution be hosted externally? If so, what options do you provide to us? If you cannot host the solution, what options do you recommend?

*Response Complies. Please refer to Appendix X Artena Hosting Solutions.*

* + 1. How do you support high availability of your system, particularly during patching and maintenance?

*Response Clients currently host and maintain the system at their site. Testing and upgrades of new releases is done by the site depending on their requirements, and according to their plan. SMSS hosts a number of test sites and performs upgrades on those. These usually take a few minutes. SMSS supports the client fully during the whole cycle by providing: quality software, deployment guides, system administrator training, troubleshooting support, setup and deployment services.*

##### Scalability/Volumes

* + 1. Describe the minimum client, server, desktop and network configurations required to achieve an acceptable standard of performance for users. Are there any limitations on the number of users the system can support? (We anticipate a maximum of 450 users and requests generated by up to 40,000 users remotely, although not concurrently).

*Response The configuration to support Artena is scalable and there are no limitations on the number of users.*

*Minimum hardware requirements are available from source for operating environments and servers which can be used as a baseline for running Artena. Additional data can be provided from existing Artena users to assess how far these baselines might need to be exceeded. SMSS will be available to assist Open Polytechnic with these deliberations.*

* + 1. Also, please detail the capability to run resource intensive reports without affecting the day to day transaction processing.

*Response A number of ETL processes are available to extract data from Artena for reporting purposes. These ETLs are provided to facilitate resource intensive and other reporting requirements separate from transaction processing. SSRS is normally deployed on a different server than Artena itself.*

*Some operational reporting (and processes) within Artena can be resource intensive. These are well known and clients will select to run them at times that are most convenient.*

##### Data migration

*Vendor Support we will require during Data Migration*

* + 1. You must provide a data migration plan and costing.

*Response Complies. See Appendix XX Data Migration.*

* + 1. Agree upfront the ongoing support required, both by vendor and Open Polytechnic, during data migration.

*Response Complies. See Appendix XX Data Migration.*

* + 1. Define clear and agreed outcomes.

*Response Complies. To ensure that the data required to support OPNZ’s core business is migrated into Artena.*

*To accurately migrate the required data from the current systems into Artena.*

*To maintain the integrity of OPNZ’s data at all times.*

*To ensure OPNZ has the correct data to support it’s statutory obligations, e.g. Reporting to the MoE.*

* + 1. All data to be updated and verified by Open Polytechnic.

*Response Complies.*

* + 1. Detailed migration documentation is required.

*Response Complies. DM Strategy and Plan*

*Business data specs (including extraction/ transformation/ upload)*

*Business decision documentation*

*Reconciliation and Verification documentation*

*Source table confirmation*

* + 1. Cooperative work between the vendor and Open Polytechnic.

*Response Complies. SMSS is committed to an entirely collaborative work environment. It is one of the key philosophies underpinning the entire organisation, and borne out across 18 other sites.*

* + 1. Define what is chargeable versus what are bug fixes upfront. Bug fixes will not be chargeable.

*Response Please refer to The Contract.*

* + 1. Multiple test environments are required.

*Response Complies. Migration requires a dedicated environment which can be manipulated, loaded, cleared and/or re-built without impacting any other workstream. Once the data is of sufficient quality, it will be transferred to the test environment for further verification, e.g. in a functional environment.*

* + 1. Quantification of successful Go-Live.

*Response Complies. Business data migrated to the new SMS is either equal to or exceeds the quality and quantity agreed to by the Project Board. (Implicit in this is that the data will be fit for purpose, which will be defined by the Project Board.)*

* + 1. Defined Rollback Plans.

*Response SMSS sees this as a component for planning of implementation; not the migration itself as data would not be rolled back during migration activities.*

* + 1. Rollback Plans need to be tested with our external DR vendor before implementation.

*Response Noted and agreed.*

* + 1. Support is required at Go-Live.

*Response Complies.*

##### Data retention

* + 1. Student Demographic Record must be held forever.

*Response Complies. These items will be identified as mandatory for migration.*

* + 1. Student ID is set for life.

*Response Complies.*

* + 1. Student Financial History to be kept for a minimum of 7-10 years.

*Response Complies. These items will be identified as mandatory for migration.*

##### Integration with key external applications

*Open Polytechnic has a statutory obligation to report to several government agencies. The formats of these reports are determined by the requirements of the external bodies. The SMS will need to be able to interface to these.*

* + 1. The SMS provider needs to be SDR certified.

*Response Complies.*

* + 1. The SDR integration needs to cater for the additional information required from distance learning providers. Open Polytechnic does not deliver information to TEC in exactly the same manner as other NZ non-distance institutions do.

*Response Noted and agreed.*

* + 1. NSI / VOS / StudyLink - Real-time bi-directional integration is required. NSI are currently upgrading their website, including connectivity portals different to existing, planning to go live August 2013.

*Response Noted. SMSS is committed to maintain full compliance with any change in requirements.*

* + 1. Experian / QAS / NZ Post – PAF is currently used to ensure our Statement of Accuracy with regards to address verification. The system needs to either integrate with this solution or have an alternative way of achieving this and producing certificates of compliance.

*Response SMSS is currently trialing Experian QAS, Intech and Acxiom. We anticipate integrating the selected service Q1 2013.*

* + 1. Ministry of Education - A complete and updated Course Registry must be provided to the Ministry of Education/TEC from the SMS.
    2. Link to existing information of a student’s study history, such as NZQA.

*Response Complies.*

* + 1. Does your solution currently have the capability to cater for International Regulatory Reporting, e.g. University of Southern Queensland - Joint Degrees? If so, how does it achieve this? If not, do you have plans to build this into your system?

*Response Complies. Artena currently caters for regulatory reporting in Samoa.*

##### Integration with key internal applications

*It is expected that the SMS will be able to integrate seamlessly with other core Open Polytechnic systems, using standard connectivity protocols. There is a mixture of commercial packages as well as in house development, e.g. J.D. Edwards’ One World and IBM Cognos Express products are used for the Financial Management Information Systems (FMIS), we have a bespoke system for Online Marking, and Open Polytechnic Online Campus is being upgraded to Moodle 2 this year.*

###### The following are over-arching requirements:

* + 1. Real-time administration and monitoring of all interfaces and their availability is required. Ideally a tool will be available to manage all of the interfaces with one view. Please describe if your solution has this capability.

*Response Artena clients run a variety of system administration tools and SMSS is happy to arrange discussions with them as part of our collaborative philosophy.*

* + 1. Real-time integration to all internal interfaces where possible.

*Response Complies. SMSS notes that real time integration is feasible where technically possible and required from a business perspective subject to operational constraints.*

* + 1. Flexibility to integrate to systems as their requirements change.

*Response Complies.*

###### Specific requirements per application requiring interfacing:

* + 1. ***FMIS***

*On the assumption that Open Polytechnic will retain a FMIS system separate from the SMS, the interface between the two systems will need:*

* + - 1. To be run on a scheduled basis.

*Response Noted and agreed. Artena’s current FMIS integration provides this.*

* + - 1. To transfer financial transactional data and master data from the SMS to the FMIS.

*Response Noted and agreed. Artena’s current FMIS integration provides this.*

* + - 1. To transfer “Master Data” from the FMIS to the SMS, for use during customer support calls.

*Response Noted and agreed. Artena’s current FMIS integration provides this.*

* + - 1. To transfer transactions on either a summarised or an individual transaction basis, depending on the nature of the transaction.

*Response Noted and agreed. Artena’s current FMIS integration provides this.*

* + - 1. To add sufficient detail to each transaction transferred to enable users to easily reconcile to the initiating transaction in the SMS.

*Response Noted and agreed. Artena’s current FMIS integration provides this.*

* + - 1. To contain totals so that the data extracted from the SMS can be reconciled to the data imported into the FMIS. If these totals do not agree, there must be functionality in the SMS to enquire on and correct any issues.

*Response Noted and agreed.*

* + - 1. To easily generate all tax reporting requirements including GST and any withholding taxes.

*Response Does not comply (Artena treats this as an FMIS function through passing the relevant data).*

* + 1. ***Online Campus (Moodle 2 - Learning Management System)***
       1. Real-time bi-directional integration between Student Biographical details, Assessment Results, Online Marking and Course Material data is required.

*Response Partially complies.*

*Artena supports the real-time creation of student accounts (with associated biographical details), course offerings and student enrolments in Moodle. Assessment Results, Online Marking and Course Materials are not currently imported into Artena but are within the scope of the existing infrastructure.*

* + 1. ***Millennium/Sierra - Library System***
       1. Real-time bi-directional integration between Millennium/Sierra Library and the SMS. This includes looking at a student's biographical information.

*Response Does not comply.*

* + - 1. Link to the Customer Financials for electronic creation of invoices for library miscellaneous fees, i.e. late fees due.

*Response Does not comply.*

* + 1. ***NCEA/NZQA*** 
       1. An interface must exist to interact with NZQA that will provide information to NZQA and then receive information from NZQA. That received information must be loaded into the SMS, with ability to run queries to determine whether students meet LLN (Language, Literacy and Numeracy) requirements. This should then be mapped against the student’s study record at Open Polytechnic, and an automated recommendation made by the system for NCEA studies to undertake.

*Response Partially complies.*

*Artena allows for the import of NZQA unit standards, qualifications, and site-specific unit. Artena can also interface with NZQA to submit student unit completions and perform qualification status checks and certificate requests.  Artena does not currently import student records of learning via any direct interface to NZQA.*

* + 1. ***SharePoint / Nintex /Online Marking System***
       1. SharePoint is used to handle our online marking workflow, the receipts of assessments, interim results and final assessments results, all of which need to be updated to the SMS in a timely manner. Explain how your solution will integrate with the existing SharePoint workflow. If your solution has its own assessment workflow, explain what functionality is provided.

*Response Does not comply. A Sharepoint interface is on our RoadMap and scheduled for delivery Q1 2013.*

* + - 1. A SharePoint payment gateway workflow is currently used for online credit card payments. The following is required in terms of integration:
         1. Automatic update of receipts (and refunds) against a student's financials.

*Response Partially complies (through batch payment facility).*

* + - * 1. Automatic note updates on the student record of reminders sent to students.

*Response Complies.*

* + - * 1. The ability to register a student if payment is the only outstanding requirement for enrolment acceptance (currently not our policy, but an option for us in the future).

*Response Complies.*

* + - 1. Real-time integration between Course structure, Assessment structure, Assessment results, Markers and online campus submissions is required.

*Response Partially Complies*

* + - 1. Notification of any submitted work through the online campus for the online marking in SMS should be provided automatically.

*Response Does not comply.*

* + 1. ***My Open Polytechnic (Student Portal)***
       1. Student information is extracted from the SMS to display on the student portal.

*Response Complies (SWArtena). Please see Appendix X – SWArtena Functionality.*

*Development required for My Open Polytechnic.*

* + - 1. Information updated by a student via their student portal should be updated real-time to the SMS where appropriate.

*Response Complies (SWArtena).*

*Development required for My Open Polytechnic.*

*Please note SWArtena does not provide real time update. However, the frequency of the ETL process is determined by the Artena administrator.*

* + - 1. Online Service requests initiated via the student portal should be updated real-time to the SMS and the relevant workflow should be initiated to ensure timely response.

*Response Complies (SWArtena).*

*Development required for My Open Polytechnic.*

*Please note SWArtena does not provide real time update. However, the frequency of the ETL process is determined by the Artena administrator.*

*Workflow initiation is by a user.*

* + 1. ***Website***
       1. The website relies on the SMS for information on Academic Structure, Qualification and Course related information, e.g. Codes, EFTS, and Fees etc. These updates should be controlled and happen in a timely manner.

*Response Complies (SWArtena).*

*Development required for My Open Polytechnic.*

* + 1. ***Online Enrolment Database*** 
       1. We currently have built our own online enrolments system, and an interface will be required. We expect that your solution will have similar functionality and might replace our bespoke development. Please describe, if you do have online enrolment functionality, what it does and how it works.

*Response Complies.*

*Please see Appendix X – SWArtena Functionality.*

* + 1. ***(Optional)******SEARS (former SMS)***
       1. On the migration from SEARS to the current SMS, not all data was moved. As a result, SEARS is still accessed for historic Student Financials and Results, as well as Programme/Course History. It is desirable (not mandatory) that this information, and the logic with it, be brought into the new SMS.

*Response Happy to discuss.*

* + 1. ***Active Directory***
       1. As staff, including faculty, must be populated into the solution in order to make allocations, provide contacts, etc., it is imperative that the solution integrate with Active Directory to obtain these details.

*Response Complies.*

### SUPPORT

##### Vendor Support

* + 1. Briefly outline the support options that would be available to Open Polytechnic, including the standard response times associated with each option.

*Response Clause C of SMSS’s Software Licence and support agreement covers support and outlines its form of support. See Appendix*

*Supporting the SMSS Software Licence ad Support Agreement we have a 3 tiered Service Level Agreement offering clients a range of support service options. These SLA’s have been written in collaboration with the Artena Owners Forum.*

*Please see Appendix for an outline of SLA benefits attracted with the Gold and Silver SLA. The Bronze SLA does not incur any extra fee as it only covers what is outlined in the Software Licence and Support Agreement.*

*Service is provided by SMSS during business hours, from 8:30am to 5:00pm on weekdays. Service will be unavailable on the following days:*

* *New Zealand national public holidays, Wellington Anniversary Day and the Tuesday following Easter Monday*
* *During the two working weeks encompassing Christmas and New Year and statutory holidays. Notice of this closedown period will be communicated to the Client in early December*

*Service may be provided outside normal hours and on weekends by arrangement with SMSS. In such instances the service will be outside the scope of this agreement and will be provided at Professional Services rates negotiated with SMSS.*

* + 1. Provide details of where these support services will be based and how on-site service will be delivered, including any non-standard costs Open Polytechnic may incur due to its location.

*Response SMSS’s support services are based in their central Wellington office, L 2 Maven House, 125 Featherston Street.*

*SMSS’s support team includes a Technical Support Analyst (TSA) who is responsible for manning the Helpdesk. She is supported when needed by our technical team which includes Technical Business Analyst support, a Professional Services Consultant, Developers and Testers. Depending on the request any one of the technical team are available to come onsite at the Open Polytechnic. A request for on-site support is submitted through the SMSS Helpdesk. The process for submitting a service request is outline in our SLA’s (see appendix ??).*

* + 1. Describe how Open Polytechnic would access your support services.

*Response The Open Polytechnic would submit all requests for support through the Help Desk either by email or phone. SMSS maintains on its website an on-line community for all clients which offers information on release notes, release schedules, forums allowing clients to post topics, news, known issues, a knowledge base. Clients are encouraged to make use of the forums as it is a way of supporting and accessing knowledge from your peers*

* + 1. Describe the in-house skills/staff Open Polytechnic would require to provide day to day support of the SMS and why. Express this as the number of full time employee (FTEs) required, e.g. Database Administrator x 1, System Administrator x 1, Business Analyst x 2.

*Response SMSS has a very diverse client base as such we will work and support what works best for our client. Clients of a similar size to the Open Polytechnic often have*

*1 x Business Analyst, 1 x Database Analyst, and a team of 1 – 3 System Administrators. SMSS would discuss and plan with you what support you currently have and what we consider would meet your needs with Artena.*

*Extra support would be negotiated where required for SMSS support in peak periods.*

* + 1. Describe your approach to releasing new versions of the SMS, e.g. one major release per annum with quarterly minor releases.

*Response We have 2 maintenance releases annually. The timeline for this schedule is negotiated and agreed with the Artena Owners forum the previous year so that the information is available when budgeting and planning for the next year. Our 2013 release schedule has been confirmed with the Artena Owners as March and September. The Release manager is responsible for all communications surrounding our release, which are release for a period of one month user testing prior to going into Live production We encourage clients to come to SMSS to test the release. Clients find this very beneficial as users discuss and share while testing and through this dialogue often find a more efficient way to carry out business processes.*

* + 1. If not provided as Software as a Service, for how many versions behind the latest release do you continue to provide support under your standard support and maintenance agreement?

*Response As outlined in the SMSS Software Licence and Support agreement SMSS support versions of Artena that are n and n-1, where n is the latest Release of Artena*

* + 1. Different degrees of technical support may be required, i.e. Help Desk, DBA. Please outline how you provide these different types of support.

*Response SMSS* *offers a variety of professional services outside the Software Licence and Support Agreement. The process for which is outlined in the Service Level Agreement*

***Custom services include:***

* *Optional Gold and Silver SLA*
* *Implementing Artena Upgrades*
* *Specific enhancement requests*
* *Training*
* *On-site visits*
* *Extended configurations*
* *Audits*
* *Report writing*
* *Interfaces to supporting 3rd party software*
* *Errors as a result of licensees not adhering to the SMSS Software Licence & Support Agreement*
* *Resolving data integrity issues*
  + 1. The vendor needs to be responsive to issues and concerns.

*Response Our helpdesk is available from 8.30 – 5 pm, clients are able to phone into the helpdesk during these hours.*

*The Client Relationship Manager is always available to discuss special requests, concerns or just to have a general conversation. The CRM will regularly visit the Open Polytechnic to ensure we are meeting your business needs.*

SMSS have an open door *policy* and clients and their staff are always welcome in the office.

* + 1. The vendor should also be responsive to our peak periods, including (if necessary) increasing staff to assist.

*Response SMSS is open for negotiation for extra support during busy times either through the help desk or through assisting onsite.*

* + 1. The vendor needs to be accessible to multiple authorised individuals at Open Polytechnic.

*Response The CRM is available to all clients staff by phone or for face to face meetings onsite at the Open Polytechnic, as is the Product Manager or the Executive Director.*

* + 1. We desire customer focussed support that is sympathetic and empathetic.

*Response Our TSA has worked for SMSS for 5 years and is very knowledgeable about Artena, particularly around compliance and understanding the value of good business processes. She worked for a client prior to joining SMSS so has an excellent knowledge of the tertiary sector and good business processes. She is very patient and well thought of by our clients. Our TSA participates in many of our training sessions and is always a representative at the user group meetings.*

* + 1. 24x7 support, or at least when we are working, is desired, with differing levels based upon priority and urgency.

*Response SMSS is open to discussion when work outside normal working hours is required. As the Open Polytechnic are Wellington based this is very easy.*

* + 1. The ability to share screen views with the vendor, whilst on the phone or chat so that a conversation can be held while reviewing the current issue.

*Response As part of our TSA’s support tools she uses Go to Meeting which allows her to share her desk top or view the clients desktop. This capabilility allows more than one person to be included. We often use it for training, meetings or to demo new capability.*

* + 1. A robust change request process is needed, including a way for Open Polytechnic to make changes in house that can be done safely (if managed internally) – avoiding problems with BAU and without jeopardising future upgrades.

*Response All requests for a client specific change to Artena are triggered through the SMSS Helpdesk. See Appendix ?? to view the Change Request Overview. All requests for change are approved by the Change Review Board. Clients wanting to make in-house changes to Artena are required to follow the process outlined in the Change Request overview. It is essential that SMSS are involved in any site specific change discussions as a change not approved by SMSS may put your SMSS Software licence and Support Agreement at risk.*

* + 1. Solid version control, with proper QA (including end-user testing), is required.

*Response All SMSS releases are managed by a Release Manager and approved by the Change Review Board. SMSS development processes include unit testing, functional testing, regression testing and smoke testing. At this point they are released to clients for a month of planned user testing prior to going into Live Production. QA points through the development process are documented and peer reviewed.*

* + 1. Transparency of what changes have been made in releases, and what is still being worked on, is required. We require a way to easily see where a change flows through to, i.e. an SDR change, mandated by TEC, but which may cause certain contracts to stop working.

*Response Comprehensive release notes are included with all releases. A known issues list is available on the on line community of the SMSS website.*

* + 1. A User Group is preferred. Please identify what your User Group structure is. Also please note the frequency of meetings, ability to prioritise changes required by the user group, and other relevant information.

##### Development, Updates and Maintenance

* + 1. Describe when the last major technology upgrade took place. What was the driver behind this upgrade? When do you anticipate the next major upgrade will take place?

*Response Development of Artena began in 1995 utilising a Delphi user interface supported by an Interbase database. The software was first implemented in 1997. In 2005 the database layer was replaced with SQL Server 2005 (Artena V7).*

*In 2007 development started on the current product (Artena V9) which was released in June 2009 and provided a major overhaul of the Artena technology base. The client layer was redeveloped in Adobe Flex for delivery in a standard web browser running Flash. The application, business logic layer was redeveloped in PHP and the database layer retained SQL Server 2005.*

*The primary driver behind this upgrade was to provide a flexible, web enabled product that was better able to meet changing client needs.*

*Our focus over the medium term will be incremental upgrades to the product which deliver:*

* *Greater intergration with internal and external systems*
* *Greater device independence and flexibility of access*
* *Optimised Business Practices*
* *Please see Appendix X Artena Product Strategy*
  + 1. Describe your approach to research and development, including what percentage of annual revenue is invested in R&D on the SMS.

*Response Research and Development is very important to SMSS. During 2013 we aim to spend approximately 1/3 of development time on new functionality.*

*To stay abreast of developments staff are involved in ongoing environment scans across key sectors:*

* *Government*
* *Education*
* *Technology*
* *SMS software*
* *Clients*

*Relevant information is consolidated into an internal blog and provides input to quarterly reviews of the Artena Standard Operating Environment,.our RoadMap and 5 Year View.*

* + 1. Provide details on the last two software updates made to your product and the drivers behind those. If possible, please provide release notes on these updates.
    2. Provide a summary of the future developments planned for the SMS and the key features that you expect to be available over the next 2-3 years.

*Response Please see Appendix X Artena RoadMap*

* + 1. Describe how you identify, manage and prioritise requests for enhancements to the base product.

Response *Through discussion with the Help Desk requests are identified as Defects or Enhancements. These are categorised as small or Project with priority determining the speed with which they are looked at. Projects are presented to the Artena Owners forum for discussion and prioritisation. Small Enhancements are included in Releases depending on priority and time available.*

* + 1. Describe your approach to maintaining alignment and support matrices with the core technologies used by the SMS, e.g. compliance with a new version of an operating system.

*Response In addition to the Environment Scans outlined in E.2.2 SMSS will initate internal research projects to trial new versions of core software, assess their impact and decide on an implementation timeframe.*

* + 1. Describe your approach to certifying your product with minor releases (patch sets) for your core components, e.g. Operating System, DBMS, Application Server, and Web Server.

*Response Development and testing is undertaken to the Artena Standard Operating Environment. Minor (or major) releases for core components will be incorporated in an Artena Release when a need is identified and therefore be subject to the normal testing cycle.*

*If clients wish to undertake upgrades earlier, SMSS encourages the client to discuss this with us and to assure themselves that no unintended consequences are introduced by the change.*

*SMSS reserves the option to charge for support of deployments outside the Artena Standard Operating Environment.*

* + 1. Describe your approach and methodology for software change and release management.

*Response Please see Appendix X Approach To Software Change and Release Management*



### COLLABORATION OPPORTUNITIES



##### Support Models

* + 1. From other implementations that you have participated in, how do you suggest we collaborate (project knowledge, implementation expertise, hosting, share support) during a project to implement your solution?

*Response SMSS proposes managing the project based on Prince2 guidelines. This will provide a sound structure for governance and management.*

*The project planning will be transparent and include the Open Polytechnic to ensure contractual requirements are met, resourcing is appropriate, and timelines are clear and manageable.*

*We anticipate forming a project team that is, subject to discussion, based at the Open Polytechnic. This will encourage and facilitate closer working relationships and we will encourage multi-level transparency to ensure progress and address concerns as they arise.*

*Clear agreement around project scope, how changes are made to that, and a spirit of collaboration are key drivers for SMSS.*

##### Related Customers

* + 1. Please identify other NZ Institutes of Technology and Polytechnic customers that are using your solution. How are they are using your platform? How can this benefit Open Polytechnic?

*Response Please see Appendix XX.*

*This solid New Zealand user base provides unique opportunities for Open Polytechnic to collaborate for mutual benefit.*

*Through the Artena Society, the Artena Owners Forum, Artena User Groups and the SMSS online community Open Polytechnic staff will be able to interact with their colleagues in other institutions.*

##### Data Portability

* + 1. Please describe how your platform can facilitate transferring student records to and from other NZ Institutes of Technology and Polytechnics.

*Response Complies (for Artena clients and subject to student agreement).*

### Appendix 1: Enterprise Architecture information

##### Application Acquisition approaches

Our application acquisition approaches that apply to this project (ordered by most preferred) are:

|  |  |  |  |
| --- | --- | --- | --- |
| # | Approach | Platform considerations | Other considerations |
| 1 | Software as a Service | Browser-based access | Complete and supported API, back up and discoverability of data, security |
| 2 | Commercial Off The Shelf | Staff-facing services: Microsoft stack  Student-facing services: Linux/CentOS-Apache-Postgres-PHP stack |  |
| 3 | Bespoke | Staff-facing services: Microsoft stack Student-facing services: Linux/CentOS-Apache-Postgres-PHP stack | Microsoft stack includes but not limited to SharePoint 2010, SQL Server 2008 r2 |

##### Hosting

If the application approach is other than Software as a Service (options 2 or 3 above) then the hosting approaches that apply to this project (ordered by most preferred) are:

|  |  |  |  |
| --- | --- | --- | --- |
| # | Hosting approach | Current providers | Other considerations |
| 1 | Infrastructure as a Service | Datacom Government IaaS | Consider management services beyond infrastructure layer (OS and application) |
| 2 | Cloud hosting provider | Microsoft Azure | Consider need for a local mirror onsite or at IaaS provider |
| 3 | On premise | Open Polytechnic | Consider need for replication to external services such as Datacom IaaS |

##### Related Systems

The following systems at Open Polytechnic write data to and read data from our current SMS. A high level diagram of these is included in Appendix 2.

|  |  |  |  |
| --- | --- | --- | --- |
| System | Primary audience | Data from SMS | Data to SMS |
| Website (Silverstripe) | Public | Academic structure: courses, fees, availability, etc. | Enrolment applications via online enrolment form |
| My Open Polytechnic (Silverstripe) | Current and past students | Assessment and exam results, Enrolments, Despatched material tracking, etc. | Student data changes incl. preferred name, contact details, etc. |
| Online Campus (Moodle 2) | Current students | Academic structure, student and staff account details, student and staff enrolment details, contract information, etc. | Real-time assessment results, Assessment submission confirmations, etc. |
| Library (Sierra / Millenium) | Current students | None | None |
| User accounts (Active Directory) | Staff and Students | Student accounts | Staff accounts |
| Online Marking (SharePoint 2010) | Staff | Student and marker details | Final assessment marks |
| Finance (J D Edwards) | Staff | General ledger data | None |
| Planning (Cognos) | Staff | Student, course and SDR data | None |
| Reporting (Microsoft SQL Server 2008 r2) | Staff | All data | None |

##### Systems Integration

As a hub for academic management data the Student Management System must be provisioned with a well-supported, extensible and documented web services layer. In the current environment web services are used to read and write data from the Student Management System however these are bespoke (written in .Net) and not supported by the current Student Management System provider.

It is essential that the selected Student Management System provide web services to enable continuing integration of new products and services into the Open Polytechnic environment.

Current system integration points in relation to the current system (ITS Integrator) are as follows in the table below.

|  |  |  |  |
| --- | --- | --- | --- |
| System | Data transfer | Current integration | Required integration |
| Website (Silverstripe) | Read academic structure / course catalogue | Daily XML transfer | Provide options |
| Website (Silverstripe) | Write enrolment applications via online enrolment form | .Net web services | Real-time via web services |
| My Open Polytechnic (Silverstripe) | Read and write student administrative data in student portal | .Net web services | Real-time via web services |
| Online Campus (Moodle 2) | Read and write all data | Daily FTP transfers | Real-time via web services |
| User accounts (Active Directory) | Read student accounts | Daily transfers | Provide options |
| User accounts (Active Directory) | Write staff accounts | Manual | Real-time via web services |
| Online Marking (SharePoint 2010) | Read student and marker details | .Net web services | Real-time via web services |
| Online Marking (SharePoint 2010) | Write final assessment marks | .Net web services | Real-time via web services |
| Finance (J D Edwards) | Read general ledger data | Daily transfers | Provide options |
| Planning (Cognos) | Read student, course and SDR data | Daily transfers (manual, pulled by Cognos) | Provide options |
| Reporting (Microsoft SQL Server 2008 r2) | Read data for education performance reporting | Daily exports | Provide options |

### Appendix 2: Enterprise Architecture Diagram



### Appendix 3: Glossary

**Academic Board:** A committee established by the Council of a tertiary education organisation under section 182 (2) (i) of the Education Act 1989 to provide advice to Council on academic matters and regulate various matters on Council’s behalf. The terms of reference of the Academic Board are detailed in the Governance Statute.

**Academic Record or Transcript:** An official signed transcript recording the course titles, unit standards, credits and results of all enrolment outcomes during the period of the student’s enrolment.

**Academic Year:** 1st January to 31st December.

**Accelerated Assessment (AA):** An opportunity for a student to demonstrate to themselves and a trained assessor how much they have learnt and what skills they have acquired through previous study, work and life experience.

**Admission and Admission Criteria:** The process to be followed and the requirements to be met by a student in order to be admitted to study at Open Polytechnic.

**Advisory Group:** A group of key stakeholders, which is empowered to advise and to make recommendations to the Dean and Academic Board about the outcomes, quality and activities of qualifications, programmes and courses, or other identified matters. In establishing the membership of Advisory Groups, the Academic Board will approve the key stakeholders for a qualification, programme or cluster of programmes. Advisory Groups will be responsible to the Academic Board. Advisory Groups do not constitute official committees of Open Polytechnic. They may be established for short or long term purposes.

**Aegrotat Consideration:** A process by which students are considered for an aegrotat pass because either they were absent from the examination, or having sat teh examination, consider that they were unfit to have sat the examination because of illness, injury, trauma, personal bereavement or exceptional circumstances beyond their control.

**Aegrotat Pass:** An academic result generated for students following a successful aegrotat consideration.

**Appeal:** The right to challenge a decision made by an Open Polytechnic officer or Committee where such a right is conferred by statute, regulations or policy and have that Appeal heard by an unbiased decision-maker who observes fair and impartial procedures.

**Assessment (Also referred to as Assessment Activity):** The process of determining the student’s progress towards, and whether the student has achieved, the learning outcomes of a course of study, through the use of a range of tools e.g. assignments, essays, reports, projects, block course work, examinations, practicums, portfolios. See also Summative and Formative Assessment.

**Assessment of Prior Learning (APL):** refer to Recognition of Prior Learning.

**Award:** A document issued in recognition of attainment of a qualification by Open Polytechnic or external body authorised to award qualifications. A degree, diploma, certificate or qualification.

**Cohort***: A group of students working together through the same academic curriculum, “, or a group of identified students based upon any other criteria chosen, e.g. all Maori students who enrol in 2012.*

**Competence:** The ability to apply particular knowledge, skills, attitudes and values to the standard of performance required in specified contexts.

**Competency-based Assessment:** Assessment whereby a particular standard is set that students must reach if they are to judged as ‘competent’.

**Council:** The governing body of a tertiary education institution as defined by the Education Act

1989 (s165).

**Course Code:** A unique identifying code allocated to each course by Academic Registry.

**Course:** A course may be known as a paper, subject, module or unit. A defined course or collection of courses forms a programme of study which, if completed successfully, results in the award of a qualification. (TEC)

An approved course is a coherent learning or training programme that is based on clear and consistent aims, content, outcomes and assessment practices. (NZQA)

A course is the smallest component of a programme onto which a student may enrol.

**Result Notification:** A record which notifies students, at the end of the enrolment period, of the final grades achieved in their courses.

**Credit:** A value assigned to unit standards, papers, courses, entire programmes and qualifications that reflects the estimated student time/effort required to satisfactorily meet the assessment requirements. In most cases one credit equals approximately ten hours of student learning time including class contact, assessment time, work experience or internships, attendance at workshops, independent, self-directed or other directed study time). (NZQA)

**Credit Transfer:** The granting of credit towards a qualification on the basis of credit for the same papers or courses already earned in another qualification or in another institution. Credits have to be recognised before they are transferred (NZQA).

**Cross Credit:** Credit for a recognised course meeting the same or similar learning outcomes as the course to which credit is sought.

**Domestic Student:** A Domestic student as defined in Section 159 (1) of the Education Act 1989. This generally includes New Zealand Citizens, or holders of residence permits with special conditions as specified in the Immigration Act 1987.

**EFTS:** Equivalent full-time student. A full-time candidate workload for one year is 1200 candidate learning hours (120 credits), which is one EFTS.

**Enrolment:** The process of registering students and developing a contract for students for a programme of study.

**Enrolment Period:** The specified enrolment period for a particular course.

**Evaluation:** The method by which Open Polytechnic judges the effectiveness of its qualifications, programmes, courses and activities against good practice criteria.

**Examination:** A summative assessment task administered by the Academic Registrar on a specific day and time under supervised conditions.

**Examiner:** A person with responsibility for the writing and/or marking of an examination.

**Exemption:** A concession whereby a student is not required to undertake a compulsory part of a programme due to the recognition of a previous qualification or knowledge.

**Extension of Enrolment Period:** An opportunity for a student to apply for additional time to complete their study. Conditions apply.

**External Moderation:** When samples of assessment tasks are sent to an external moderator for verification that an ITP’s assessment activities are fair, valid, reliable, sufficient and consistent. See pre-assessment and post-assessment moderation.

**External Moderator:** A person external to Open Polytechnic to whom samples of assessment items and student work are submitted for external moderation.

**External Monitor:** A person external to Open Polytechnic who is appointed by an external agency to assist in the continuous improvement of academic standards.

**Final Result Notification:** A formal notification of a student's final mark.

**Foreign Student:** A student who is not a domestic student – also known as an International Student.

**Formative Assessment:** Assessment activities aimed primarily at providing information and feedback to educators and students. Such assessments are not intended to contribute to the final result, however information gained from formative assessment may be used in reaching summative assessment decisions.

**Graduate:** A person who has an Award of the Institute conferred.

**Graduation:** The formal process at which graduates have their certificates conferred and presented.

**Guidelines:** A flexible framework designed to assist and guide people to achieve the implementation of policy and procedures. Guidelines are a recommended approach but not mandatory.

**I-Govt:** I-govt is an online identity information management service that enables you to prove and confirm your identity securely when dealing with government service providers on the Internet.

**Internal Moderator:** A member of Open Polytechnic’s Academic Staff or Adjunct Faculty to whom samples of assessment items and student work are submitted for moderation.

**International Student:** See Foreign Student.

**International English Language Testing System (IELTS):** A system of testing English language proficiency for education, immigration and employment purposes.

**ITO:** Industry Training Organisation.

**Level (Register Level):** The level of course, programme or qualification as defined by the New Zealand Qualifications Authority consistent with the ten levels of the New Zealand Qualifications Framework and level one being entry level. The level of each unit standard, achievement standard, and national qualifications set nationally according to general guidelines.

**LLN:** Literacy, Language and Numeracy.

**Ministry of Education:** A government department which gives effect to the Education Act, and acts as the Government’s lead advisor on the education system. (MoE)

**Misconduct (student):** Any breach of the student conduct rules set out in the Open Polytechnic statutes and programme regulations.

**Moderation:** The process of confirming that assessment activities are fair, valid, reliable, sufficient and consistent across a number of assessors or assessing organisations and meet the required standards.

**Mode of Delivery:** The way in which the papers, courses and programmes providing learning experiences, including content and context, resources, staff, teaching and learning strategies and assessment activities, are delivered. (NZQA)

**MOE:** Ministry of Education.

**NCEA:** New Zealand's National Certificates of Educational Achievement (NCEA) are national qualifications for senior secondary school students.

**NSI:** National Student Index.

**National Qualification:** A particular combination of credits from assessment against national standards as determined by a standard-setting body.

**New Zealand Learning Platform:** A sophisticated online training delivery platform, developed in partnership with Learning State, to enable effective management of their learning process.

**NZQA:** The New Zealand Qualifications Authority.

**Official Start Date of the Enrolment Period:** The start date specified in the schedule of key dates and published on Open Polytechnic’s website.

**Open Enrolment:** Specified courses in which students can enrol at any time of the year and complete their study over a 32 week or other period approved by the Academic Board.

**Paper:** Refer to Course.

**Policy:** A set of documented principles and values or a written statement which defines the position or strategy in regard to the matter(s) the policy addresses. It provides direction, defines parameters and expected practices at Open Polytechnic. Compliance is required.

**Polytechnic:** *"A polytechnic is characterised by a wide diversity of continuing education, including vocational training, that contributes to the maintenance, advancement, and dissemination of knowledge and expertise and promotes community learning, and by research, particularly applied and technological research, that aids development". [****Education Act 1989 s162(4)(b)(ii)].***

**Postal Address File (PAF):** The Postal Address File (PAF) is New Zealand’s most complete and up-to-date database of postal addresses. It’s designed to help you maintain top quality mailing lists, reduce returned and undelivered mail, and improve your data capture and management.

**Post-assessment Moderation:** A process whereby a moderator reviews assessment decisions and tools to determine whether they are fair, valid, reliable, sufficient and consistent.

**Pre-assessment Moderation:** A process whereby a moderator evaluates assessment tasks before they are used to verify that, in relation to the prescribed learning outcomes, the assessments are fair, valid, reliable, sufficient and consistent.

**Pre-requisite:** A specified course or paper that must be successfully completed before a student can enrol in another particular course or paper.

**Programme:** A self-contained block of study or a combination of courses that lead to a qualification.

**Programme Approval:** A process, defined by an ITP, whereby the quality of a proposed or changed programme is approved by the Academic Board and where necessary by NZQA.

**Programme Portfolio:** The programmes and courses currently approved for delivery and those planned for approval or closure over the next three years.

**Programme Regulations:** The criteria approved by Academic Board that describe the requirements for successful delivery and completion of a programme or qualification.

**Qualification:** An official award recognising the successful completion of a prescribed programme of study.

**QAS:** Address verification software.

**Re-assessment:** A further opportunity for an enrolled student to demonstrate competence in the learning outcomes of a unit standard or satisfactory performance of in-course assessment, where the student has not met the required standard on the first attempt.

**Recognition of Prior Learning (RPL):** Previous learning and experience for which learners receive credit or academic recognition. This may include courses/programmes of study that learners have previously undertaken, non-formal prior learning, and work and/or life experience. Also known as Approved Prior Learning (APL), Recognition of Prior Learning has been recognized as the umbrella term for Assessment of Prior Learning (APL), Recognition of Current Competency (RCC) and Accelerated Assessment.

**Record of Achievement:** An official record produced by NZQA which lists all the units standards achieved, and national qualifications gained by a student.

**Record of Attendance**: a document which is available on request by a student, or may be raised by the School, which identifies that the student has attended a workshop, block course or contact class. It contains no other information.

**Regulations:** Statutes approved by the Academic Board, under the delegated authority of Council, for the conduct of Open Polytechnic’s qualifications and courses and programmes and those of other authorities delivered or assessed by Open Polytechnic.

**Review:** A process carried out by Executive Director, Academic Services on the formal application by a student who is dissatisfied with a decision made under the Academic Statute.

**Resit Examination:** An opportunity granted to a student to resit an examination in the next available trimester under specified conditions.

**Results and Awards Committee:** A committee of the Academic Board of Open Polytechnic to ensure that students are assessed appropriately, and to review and approve final results (including aegrotats).

**Selection Process and Criteria:** The process and the requirements which are used to prioritise the applicants who are seeking admission to a programme.

**Student:** A person formally enrolled in any paper, course or programme.

**Summative Assessment:** Assessment activities that contribute to the final result of the course and provide students with a specific measure of their learning in relation to course learning outcomes.

**StudyLink:** StudyLink is a service of the Ministry of Social Development.

**TEC:** Tertiary Education Commission – the Government agency charged with giving effect to the Tertiary Education Strategy. It is also the agency which funds Open Polytechnic.

**Trimester:** The division of the academic year into three equal parts; each part is called a trimester. Level 5 courses and above are generally available for trimester enrolment by students, however not every course is available for enrolment each trimester.

**Verification of Study (VoS):** Verification of Study (VoS) is a process that provides StudyLink with the necessary information, from education providers, to enable us to assess a student’s eligibility and entitlement to Student Allowances and/or Student Loans. The VoS also tells us the amount of fees to pay an education provider if the student has applied for a Student Loan to pay their fees.

**Withdrawal:** An opportunity for a student to apply to formally withdraw from their course of study - conditions apply.

### Appendix 4: Data migration estimates

|  |  |  |
| --- | --- | --- |
| **Current Student Management System data** | | |
| **Table set type** | **Table set** | **Total Number of Tables** |
| Code Tables | Account categories | 1 |
| Code Tables | Account definitions | 1 |
| Code Tables | Assessment codes | 1 |
| Code Tables | Blocks | 1 |
| Code Tables | Cancelation codes | 1 |
| Code Tables | Certificates | 2 |
| Code Tables | Control dates | 2 |
| Code Tables | Course dates | 1 |
| Code Tables | Disabilities | 1 |
| Code Tables | Exam months | 1 |
| Code Tables | Exam types | 1 |
| Code Tables | Exam types-blocks | 1 |
| Code Tables | General codes | 1 |
| Code Tables | Highest achievement | 1 |
| Code Tables | Language | 1 |
| Code Tables | Levels | 1 |
| Code Tables | Occupation | 1 |
| Code Tables | Person titles | 1 |
| Code Tables | Previous study | 1 |
| Code Tables | Reason codes | 1 |
| Code Tables | Result codes | 1 |
| Code Tables | School-Departments | 1 |
| Code Tables | Schools | 1 |
| Code Tables | Transaction definitions | 1 |
| Log Files | Contracts | 1 |
| Log Files | Financial structures | 1 |
| Log Files | Student-Courses | 1 |
| Log Files | Student-Documents | 1 |
| Log Files | Students | 1 |
| Structural | Access | 2 |
| Structural | Composite courses | 2 |
| Structural | Contracts | 7 |
| Structural | Cost centre definition | 1 |
| Structural | Course | 6 |
| Structural | Course-Assessments | 6 |
| Structural | Course-Materials | 1 |
| Structural | Discounts | 1 |
| Structural | Exam | 7 |
| Structural | Fees | 1 |
| Structural | Materials | 3 |
| Structural | Person-Course/Programmes | 1 |
| Structural | Persons (staff) | 1 |
| Structural | Post Codes | 2 |
| Structural | Programme-Courses | 2 |
| Structural | Programmes | 6 |
| Structural | Qualification-Rules | 6 |
| Structural | Tutors | 7 |
| Structural | User-Access | 2 |
| Structural | Users | 1 |
| Transactional | Debtor-invoices | 1 |
| Transactional | SDR | 3 |
| Transactional | Student/Person-Addresses | 1 |
| Transactional | Student/Person-Brochures | 3 |
| Transactional | Student-Applications | 2 |
| Transactional | Student-Assessment marking | 2 |
| Transactional | Student-Assessment submission | 1 |
| Transactional | Student-Assessments | 2 |
| Transactional | Student-Awards | 1 |
| Transactional | Student-Certificates | 1 |
| Transactional | Student-Cohorts | 1 |
| Transactional | Student-Courses | 1 |
| Transactional | Student-Disabilities | 1 |
| Transactional | Student-Discounts | 1 |
| Transactional | Student-Financials | 1 |
| Transactional | Student-Loan Applications | 1 |
| Transactional | Student-Loan VOS | 1 |
| Transactional | Student-Materials | 2 |
| Transactional | Student-Notes | 1 |
| Transactional | Student-Previous qualifications | 1 |
| Transactional | Student-Programmes | 1 |
| Transactional | Student-Quotes | 2 |
| Transactional | Students | 1 |
| Transactional | Student-Service requests | 2 |
| Transactional | Student-Statuses | 1 |
| Transactional | Student-Tutor/Service centres | 1 |
|  | **Total** | **132** |
|  |  |  |
| **Historical Student Management System data** | | |
| Structural | Course Occurrences | 1 |
| Structural | Courses | 1 |
| Structural | Programmes | 1 |
| Transactional | Student-Assessments | 2 |
|  | **Total** | **5** |