



**State of New York**

**NYS Office of Information Technology (ITS) Competitive Procurement for:  
RFP ITS-2015-005LM Rent Regulation System Modernization for the New York State Division of Housing  
and Community Renewal (DHCR)**

<b>SOLE DESIGNATED CONTACT FOR INQUIRIES AND SUBMISSIONS</b>	
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<b>Calendar of Events</b>	
<b>Event</b>	<b>Date</b>
1. RFP Release Date	February 24, 2016
2. Deadline for Submission of Vendors' Questions	<b>March 10, 2016</b>
3. Deadline for filing Mandatory Notice of Intent to Bid:*	<b>March 15, 2016</b>
4. Issuance of Response to Submitted Questions	On or about March 29, 2016
<b>5. BID PROPOSALS DUE DATE</b>	<b>April 18, 2016 at 4:00 PM EST</b>
<b>6. Vendor Presentations</b>	On or about Week of May 23 <sup>rd</sup> , 2016
7. Anticipated Notification of Award	On or about June 13 <sup>th</sup> , 2016
8. Debriefing Request Deadline	No later than 10 business days from date of award announcement
9. Bid Protest Deadline	See Attachment T – Bid Protest Policy
<b>10. Timeframe for Contract Negotiations</b>	25 business days from date of award announcement
11. Timeframe for Contract Approval; Contract to Begin	Approximately 90 days after completion of contract negotiations

\*Mandatory Requirements: Filing of a Notice of Intent to Bid is a mandatory prerequisite to further participation in this Procurement. ITS reserves the right, in its sole discretion, to alter the information and schedule shown above. In such an event, ITS will publish the notification on its website at: <https://its.ny.gov/competitive-procurement-opportunities>.

**ALL PROPOSALS SUBMITTED IN RESPONSE TO THIS RFP AND ALL QUESTIONS, COMMUNICATIONS AND SUBMISSIONS TO ITS MUST BE WRITTEN IN THE ENGLISH LANGUAGE WITH QUANTITIES EXPRESSED USING ARABIC NUMERALS. ALL PRICES SHALL BE EXPRESSED, AND ALL PAYMENTS SHALL BE MADE, IN UNITED STATES DOLLARS (\$ USD). ANY PROPOSAL RECEIVED THAT DOES NOT MEET THE ABOVE CRITERIA MAY BE REJECTED AT THE SOLE OPTION OF ITS.**

**NOTICE OF POLICY AND PROHIBITIONS ON PROCUREMENT LOBBYING AND CONTACTS**

State Finance Law §139-j(6) requires that a governmental entity incorporate a summary of its policy and prohibitions regarding permissible contacts during a covered procurement. Pursuant to State Finance Law §§139-j and 139-k, this Request for Proposal (RFP) includes and imposes certain restrictions on communications between the Office of Information Technology Services (ITS), a governmental entity and any vendor during the procurement process.

A vendor is restricted from making contacts from the earliest notice of intent to solicit offers including this Request for Proposal through final award and approval of the procurement contract by ITS and the Office of the State Comptroller (“Restricted Period”) to other than the ITS staff member who has been designated by ITS as the sole procurement contact and who has been identified on the first page of this RFP. There are certain statutory exceptions set forth in State Finance Law §139-j(3)(a).

State Finance Law §139-k(4) obligates every governmental entity during the restricted period of a procurement contract to make a written record of any contacts made. The term “contact” is defined by statute and refers to those oral, written or electronic communications that a reasonable person would infer are attempts to influence the governmental procurement. The ITS Office of Counsel and Legal Services is required to make a determination of the responsibility of the vendor pursuant to State Finance Law §§139-j and 139-k. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four (4) year period, the vendor is debarred from obtaining governmental procurement contracts.

Additional information and guidance on the “Restricted Period” and permissible contacts can be found in the guidelines issued by the New York State Advisory Council on Procurement Lobbying, which can be found on the OGS website at: <http://www.ogs.state.ny.us/aboutOgs/regulations/defaultAdvisoryCouncil.html>

Vendors must provide ITS with a required affirmation of understanding and agreement to comply with procedures on procurement lobbying restrictions regarding contacts in the restricted period for a procurement contract in accordance with State Finance Law §§139-j and 139-k. The vendor must agree to the certification and complete the affirmation of such agreement included in Attachment B.

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## 1 INTRODUCTION

This RFP will result in a contract between New York State Office of Information Technology Services (“ITS”) and the successful Bidder (the terms “successful Bidder” and “Contractor” are used interchangeably throughout this document and accompanying documents) selected through the RFP procurement process. The resulting contract shall be referred to as the “Contract”. The Contract shall be managed by the New York State Office of Information Technology Services (ITS) for the benefit of the New York State Division of Housing and Community Renewal (DHCR).

This RFP is for the purchase of Rent Regulation System Modernization services. Modernizing the DHCR Rent Regulation System (the “Project”) will enable DHCR to accurately, efficiently and effectively administer and oversee the rent regulation programs within the State of New York (State or NYS) and foster a system of compliance and self-regulation. The objective for this Project is to facilitate a system modernization for DHCR that will implement business process, policy and organizational changes, in combination with new supporting technology, thus enabling the organization to operate more effectively in terms of current/ongoing service delivery. This rent regulation system modernization will be achieved through improved, re-engineered and new business processes and the implementation of new software applications built on a technology platform provided by ITS (refer to Attachment K for specifics regarding the platform). The technology platform will utilize Oracle Policy Automation, Oracle Service Cloud and Siebel Tools for Customer Relationship Management (CRM) and Business Process Management (BPM).

The Contractor will leverage existing documentation (for example, documentation resulting from the Agency’s Lean process improvement initiative) and interviews with DHCR and ITS subject-matter-experts (SMEs), to create a solution that incorporates the functionality of the legacy Historical Update and Tracking System (HUTS) case processing and rent registration application and properly integrates the case management, enterprise content management, reporting, as well as data warehouse and data analytics functionality.

As such, the objectives of the system are as follows:

- Provide a more user-friendly web-based application to manage all rent regulation activities including registrations of units, case management and case processing
- Implement business process improvements and automate paper-based processes to reduce workload through automation
- Enable data analysis to monitor and respond to fraud and non-compliance matters
- Enable organization-wide performance management
- Provide management reports and response to queries
- Streamline internal communication through workflows and enhance data sharing with other agencies
- Provide a platform for future requirements of the organization
- Replacement of the existing HUTS system and related databases
- Improved client service and customer satisfaction for both landlords and tenants
- Reduced case processing times and faster response times that enables DHCR to continue to meet its objectives with limited resources through increased productivity and efficiencies
- Provide multiple channels of communications and consistent user experience across channels
- Provide a more robust mechanism for accurately tracking, analyzing and reporting on data associated with rent regulation

## **2 BACKGROUND**

### **2.1 Description of New York State Homes and Community Renewal**

New York State Homes and Community Renewal (HCR) consists of all the State's major housing and community renewal agencies, including The Affordable Housing Corporation, The Division of Housing and Community Renewal, Housing Finance Agency, State of New York Mortgage Agency, Housing Trust Fund Corporation and other agencies not involved in this RFP process. These agencies are organized under a single leadership and management structure to create new efficiencies and allow for better coordination of the state's resources. Similar and complementary programs are now aligned and working together, reducing costs, red tape and duplicative efforts while increasing the effectiveness of the state's housing and community renewal programs.

HCR organizes programs in a logical manner into four groups - Finance and Development, Housing Preservation, Community Renewal and Professional Services:

Finance and Development - aligns all programs that fund the development of affordable housing, including Low Income Housing Tax Credit programs, tax exempt and taxable bond finance programs, single family loan and Capital awards programs.

Housing Preservation - includes all the programs that maintain and enhance the state's portfolio of existing affordable housing. This includes the Office of Rent Administration, the Section 8 program, Asset Management and the Weatherization Assistance Program.

Community Renewal - includes all the programs geared toward community and economic development, job creation and downtown revitalization, including the NYS Community Development Block Grant Program, NY Main Street program, Affordable Housing Corporation, Neighborhood Stabilization Program and the Neighborhood and Rural Preservation programs.

Professional Services - includes all administrative and support services, including Communications, Legal Affairs, Administration, Fair Housing, Policy Development, and Accounting and Treasury.

### **2.2 DHCR Program Areas**

#### **2.2.1 Office of Rent Administration**

The Office of Rent Administration (ORA) operates within DHCR's Office of Housing Preservation and is responsible for administering rent regulations which cover privately owned buildings in New York City (NYC), Westchester, Nassau and Rockland counties. Rent regulation involves the operation of four different rent regulatory schemes: The Rent Stabilization Code and the New York City Rent and Eviction Regulations inside NYC, and the Emergency Tenant Protection Regulations and the State Rent and Eviction Regulations outside NYC. These regulations limit rent increases, require lease renewals, provide for the maintenance of services/repairs, allow for rent increases for apartment and building improvements and prevent harassment and unwarranted evictions.

ORA's mandates and objectives are as follows:

- ORA preserves and maintains the supply of regulated housing for approximately 2.5 million New Yorkers.
- ORA administers the rent control and rent stabilization laws and regulations which include DHCR's function as a custodian for all rental records required by law to be filed

or maintained by it. The rent stabilization laws and regulations are designed to provide owners with an adequate return on investment while providing tenants with protection from burdensome rent increases in a market with a persistent shortage of suitable rental housing.

- ORA is responsible for protecting tenants from unlawful rent increases, harassment and the threat of illegal evictions while ensuring their rights to well-maintained housing.
- ORA safeguards the integrity of this regulated housing stock by providing mechanisms for a reasonable return on investment for owners who maintain their buildings.

ORA considers and responds to the applications and legitimate inquiries of the tenants and owners of over 900,000 rent regulated apartments. It is organized into four bureaus: Overcharge and Luxury Decontrol Bureau; Property Management Bureau; Rent Control/Emergency Tenant Protection Act (ETPA) Bureau; and the Rent Information Bureau. With the exception of the Rent Information Bureau, all the bureaus are case processing bureaus.

### ***2.2.1.1 Overcharge and Luxury Decontrol Bureau***

The Overcharge and Luxury Decontrol Bureau oversees cases related to overcharge, high rent/high income decontrol and eviction. There are 71 full time employees (FTE's) in this bureau and the bureau is organized into five units: (i) Overcharge Unit; (ii) Luxury Decontrol Unit; (iii) Operations/Eviction Unit; (iv) Petition for Administrative Review (PAR) Unit; and (v) Request for Reconsideration Unit.

The following summaries outline the major tasks completed by each unit within the Overcharge and Luxury Decontrol Bureau:

#### ***2.2.1.1.1 Overcharge Unit***

This unit processes overcharge, lease renewal and fair market rent appeal complaints from tenants residing in rent stabilized apartments. The unit processes substantial rehabilitation applications from owners alleging that the building was substantially rehabilitated as residential units on or after January 1, 1974, which would exempt the building from the Rent Stabilization Law. The unit also processes an owner's application to refuse to renew a tenant's lease on grounds that may include the building will be demolished.

#### ***2.2.1.1.2 Luxury Decontrol Unit***

This unit processes all high rent/high income decontrol cases which provides for deregulation of apartments dependent on the subject apartment's legal rent, and the tenant's federally adjusted gross income as reported on the NYS income tax return.

#### ***2.2.1.1.3 Operations/Eviction Unit***

This unit screens new overcharge and lease renewal applications and PARs. The unit prepares case folders for the applications, creates docket numbers and labels for the cases and does the initial servicing of the application to the affected parties. The unit also provides ongoing support to the Overcharge Unit by distributing incoming mail. The Eviction Unit manages owner eviction and demolition cases. They handle eviction applications by owners seeking not to renew a tenant's lease based on withdrawal of the unit from the rental market or demolition of the structure.

#### ***2.2.1.1.4 Petition for Administrative Review Unit***

Every processing bureau has its own PAR unit. That unit is responsible for determining if the Rent Administrator's orders are: (i) correct and should be affirmed; (ii) incorrect and should be modified

or revoked; or (iii) remanded to the Rent Administrator for further investigation. The orders issued at this level are DHCR Deputy Commissioner's Orders and are generally considered final unless one of the parties requests, and is granted, a Request of Reconsideration of the PAR order or proceeds with an Article 78 proceeding in court.

#### **2.2.1.1.5 Request for Reconsideration Unit**

This unit is charged with determining if a Request for Reconsideration on a PAR issued by any processing bureau in the ORA should be granted.

#### **2.2.1.2 Property Management Bureau**

The Property Management Bureau provides services to owners in the area of building wide owner applications related to Major Capital Improvement (MCI), hardship rent increases, tax abatements and modification of building wide services. The bureau also provides services to tenants in the area of tenant applications related to the maintenance of individual apartment and building wide services. There are 116 FTEs in this bureau and it is organized into eight units: (i) MCI Processing Unit; (ii) Operations & Maintenance Unit; (iii) Services Unit; (iv) Multi-Service Unit; (v) Operations & Screening Unit (Services); (vi) Inspection Unit, (vii) Enforcement/Compliance/Mediation Unit; and (viii) PAR Unit.

The following summaries outline the major tasks completed by each unit within the Property Management Bureau:

##### **2.2.1.2.1 MCI Processing Unit**

This unit processes building-wide owner applications for rent increases based on MCI, hardship rent increases, tax abatements and owner applications for modification of building wide services.

##### **2.2.1.2.2 Operations & Maintenance Unit**

This unit screens incoming applications. They prepare case folders for the applications, create docket number and labels for the case. They also provide ongoing support to the MCI Processing Unit by distributing incoming and outgoing mail, and updating the status field on HUTS to reflect the location of cases.

##### **2.2.1.2.3 Services Unit**

This unit processes tenant applications related to the maintenance of individual apartment and building wide services, tenant complaints of harassment and tenant complaints of non-compliance with DHCR orders.

##### **2.2.1.2.4 Multi Service Unit**

This unit processes multiple case types including MCI cases and Services cases for buildings located outside of NYC. They also process Administrative Determinations where the status of an apartment is at issue or the rent is unknown, as well as tax abatements and owner applications for modification of building-wide services.

##### **2.2.1.2.5 Operations & Screening Unit**

This unit screens incoming applications for the Property Management Bureau. They prepare case folders for the applications, create docket number and labels for the case. They also provide ongoing support to the Services Unit by distributing incoming and outgoing mail, and updating the status field on HUTS to reflect the location of cases.

**2.2.1.2.6 Inspection Unit**

This unit provides support to all case processing bureaus. Upon receipt of a request from a bureau, an inspection may be scheduled and conducted. Inspectors are stationed in various offices located in Queens, Brooklyn and Manhattan; however, they provide coverage for buildings located throughout the five NYC boroughs and Nassau, Westchester and Rockland counties.

**2.2.1.2.7 Enforcement/Compliance/Mediation Unit**

The Compliance Unit conducts mediation and if necessary, because mediation fails or is inappropriate, may recommend that a formal administrative hearing be commenced resulting in the imposition of Civil Penalties for violation of DHCR orders. The Enforcement Unit investigates and if necessary, prosecutes harassment cases where the tenant claims that an owner is engaging in a course of conduct designed to make the tenant vacate or surrender their rights under the rent laws.

**2.2.1.2.8 PAR Unit**

As previously noted, every processing bureau has its own PAR unit. That unit is responsible for determining if the Rent Administrator's orders are: (i) correct and should be affirmed; (ii) incorrect and should be modified or revoked; or (iii) remanded to the Rent Administrator for further investigation. The orders issued at this level are DHCR Deputy Commissioner's Orders and are generally considered final unless one of the parties requests and is granted a Request of Reconsideration of the PAR order or proceeds with an Article 78 proceeding in court.

**2.2.1.3 Rent Control/ETPA Bureau**

The Rent Control/ETPA Bureau provides the administrative processing for rent controlled apartments and produces rent control history reports for use in other cases where necessary. There are 30 FTEs in this bureau. The bureau is organized into four units: (i) Cyclical Cases Unit - MBR and Fuel; (ii) Owner Individual Unit; (iii) Research and Analysis Unit; and (iv) PAR Unit.

The following summaries outline the major tasks completed by each unit within the Rent Control/ETPA Bureau:

**2.2.1.3.1 Cyclical Cases Unit – MBR and Fuel**

This unit processes Maximum Base Rent (MBR) and Fuel Cost cases, which are cyclical increases to cover increased expenses in NYC rent controlled apartments, as well as challenges to both case types.

**2.2.1.3.2 Owner Individual Unit**

This unit processes rent control overcharge complaints, as well as owner individual filings for rent increases and decontrol cases.

**2.2.1.3.3 Research and Analysis Unit**

This unit provides data to Nassau, Rockland and Westchester Rent Guidelines Boards. This unit also updates the Standard Adjustment Factor, Operation & Maintenance Certification, Fuel Cost Adjustment Factor and Labor Cost Adjustment Factor for use in cyclical cases. This unit is responsible for updating the operational bulletins such as, Surcharges for Tenant installed Washing Machines, Dryers and Dishwashers, Conversion from Master to Individual Metering of Electricity with Direct Payment by Tenant and the annual update for air conditioners surcharges.

#### **2.2.1.3.4 Petition for Administrative Review**

As previously noted, every processing bureau has its own PAR unit. That unit is responsible for determining if the Rent Administrator's orders are: (i) correct and should be affirmed; (ii) incorrect and should be modified or revoked; or (iii) remanded to the Rent Administrator for further investigation. The orders issued at this level are DHCR Deputy Commissioner's Orders and are generally considered final unless one of the parties requests and is granted a Request of Reconsideration of the PAR order or proceeds with an Article 78 proceeding in court.

#### **2.2.1.4 Rent Information Bureau**

The Rent Information Bureau provides direct services to the public through a number of units. It has a centralized telephone, rent info line, an information email box, five New York City based Borough rent offices and one Westchester County District Rent Office. There are 86 FTEs in this bureau. The bureau is organized into six units: (i) Records Access FOIL/Subpoena Unit; (ii) Forms Unit; (iii) Staffing Management/Administrative Services Unit; (iv) Rent Info (telephone) line; (v) Borough and District Rent Offices; and (vi) Central Records Unit – a seventh unit needs to be added – (vii) Rent Registration Unit (see next note). The Bureau Chief is also responsible for coordinating many activities with ITS, DHCR Legal Office and the DHCR Public Information Office.

The following summary is an outline of the major tasks completed by each unit within the Rent Information Bureau:

##### **2.2.1.4.1 Records Access FOIL/Subpoena Unit**

This unit provides access to case files, orders and rent registration information.

##### **2.2.1.4.2 Forms Unit**

This unit is responsible for the creation and modification of all forms used by ORA as well as printed material and its placement on the website.

##### **2.2.1.4.3 Staffing Management/Administrative Services Unit**

This unit works with DHCR staff in Albany to coordinate personnel matters within ORA. The Administrative Services Unit works with Albany staff and DHCR staff in Manhattan, distributing supplies, managing building repair issues and related financial reporting systems.

##### **2.2.1.4.4 Rent Info (telephone) Line**

This unit responds to telephone inquiries from owners, tenants and authorized representatives sourced from all counties subject to regulation. It is comprised of two features, call agents and automated responses. The automated responses are available 24 hours a day, 7 days a week.

##### **2.2.1.4.5 Borough and District Rent Offices**

The Borough and District Rent Offices provide localized public information assistance to tenants and owners. The offices provide apartment registered rent histories as well as information about cases that may affect the requesting tenant's rent. In addition, the offices provide owners with building and case information. Owners and tenants can also receive technical assistance in completing ORA forms.

##### **2.2.1.4.6 Central Records Unit**

This unit manages the filing, delivery, scanning and disposal of all case files.

#### **2.2.1.4.7 Rent Registration Unit**

There are 3 FTEs in the unit. The unit is charged with ensuring that all of the initial, annual, amendment and vacancy decontrol registrations received by DHCR are entered into ORA's computerized database, whether such submissions are paper or digitally received through the online Owner Rent Regulation Applications (ORRA) system. They also work with helping users of the online system to enter annual registrations for submission to DHCR. The unit resolves data integrity issues with the registration data, duplication of submissions for a building or apartment and adding new building addresses into HUTS.

#### **2.2.1.5 Other Relevant Units**

##### **2.2.1.5.1 Rent Guideline Boards**

Each year, the Rent Guidelines' Boards of Westchester, Rockland and Nassau counties (Boards) establish rent guidelines for leases of apartments subject to the Emergency Tenant Protection Act of 1974 (ETPA), as amended. The ETPA requires that DHCR staff assist the Boards in their work. The DHCR staff assist the Boards by (i) scheduling meetings; (ii) drafting for the Boards' approval minutes of their meetings; (iii) providing them with legal advice on the ETPA and the State's Open Meetings Law; and (iv) editing for legal issues the written rent guidelines. Other DHCR staff may also assist the Boards by finding meeting sites, answering case processing questions and processing the Board members' statutory stipends.

#### **2.2.2 HCR Legal Department**

The HCR Legal Department (HCRLD) is headed by a General Counsel who oversees the legal work of the various units within HCR. There are divisions at various locations in the State including Hampton Plaza in Albany, 641 Lexington Avenue in NYC and two NYC divisions at 25 Beaver Street, one whose members perform the bulk of support for ORA and TPU ("the Downstate Legal Office"). The Downstate Legal Office is comprised of three units: (i) General Law Unit; (ii) Litigation Unit; and (iii) Hearings Unit. The General Law Unit performs a variety of legal functions. The Litigation Unit's primary function is to represent DHCR in Civil Practice Law and Rules (CPLR) Article 78 proceedings involving DHCR determinations made by the Office of Rent Administration under Rent Control and Rent Stabilization Laws. The Litigation Unit also provides legal assistance in other matters to the Office of the Attorney General. The Hearings Unit conducts evidentiary hearings required under the Rent Control and Rent Stabilization Laws, as well as settlement conferences on disputed compliance matters and other issues.

##### **2.2.2.1 Tenant Protection Unit**

The Tenant Protection Unit (TPU) is the centerpiece of a historic and unique approach by Governor Andrew M. Cuomo, toward proactive enforcement of the various rent laws administered by DHCR. Having a proactive Tenant Protection Unit is a measured step that informs the tenant and ownership communities that the Governor and DHCR are committed to stabilizing the rent regulated market through fair and balanced enforcement. TPU examines the patterns and practices of landlords, looking for wrongdoing through audits and investigations. TPU is charged with creating legally binding settlements to end the harassment of rent regulated tenants, negotiate mandatory monitoring agreements and compensate rent regulated tenants whose rights are violated. There are 25 FTEs in the Tenant Protection Unit and it is organized into four units:

(i) Audit/Investigatory Unit; (ii) Legal Unit; (iii) Forensic Analysis Unit; and (iv) Intergovernmental Affairs Unit.

The following summaries offer an outline of the major tasks completed by each unit within the Tenant Protection Unit:

**2.2.2.1.1 Audit/Investigatory Unit**

This unit determines through research, constituent outreach, and risk assessments, various entities to audit and investigate in order to assure compliance with rent laws and regulations. The unit will then conduct these audits, investigations and inspections to detect/determine potential landlord non-compliance, misrepresentations and/or fraud.

**2.2.2.1.2 Legal Unit**

This unit, in conjunction with TPU's Audit/Investigatory Unit, works to proactively prevent violations of housing laws and root out fraud that infringes on the rights of rent regulated tenants and may inappropriately diminish New York's rent regulated housing stock. TPU's attorneys: (i) analyze the investigatory data for fraud and other illegality; (ii) enforce the rent regulation laws; (iii) commence litigation for injunctive relief; and (iv) negotiate settlement agreements.

**2.2.2.1.3 Forensic Analysis Unit**

This unit provides the necessary information to support new and ongoing audits and investigations through analyses, reports, and dashboards. Prior to launching a subpoena and entering into settlements, this unit culls data from various internal and external sources to determine the scope of a landlord's holdings to ensure that the TPU is reaching out to all affected tenants of the landlord. The unit also maintains the unit's data collection and monitors current and future performance measures for TPU.

**2.2.2.1.4 Intergovernmental Affairs Unit**

This unit is responsible for outreach to the community with a focus on communications with landlord and tenant advocacy groups. The unit conducts meetings with relevant stakeholders to hear their input on the TPU's actions and report back on the TPU's progress. The unit responds to public officials and their staff when questions arise about the TPU. The unit monitors various related budget and legislative issues of concern to TPU.

## **2.3 Description of the State's Office of Information Technology Services**

### **2.3.1 Mission Statement**

To establish the strategic technology direction for the State of New York, through innovative information technology (IT) solutions and services, to enable New York State government to improve the lives of citizens, foster economic development, and welcome visitors to our State.

### **2.3.2 IT Transformation**

In the fall of 2012, ITS was created to consolidate IT service delivery to New York State agencies; creating a single agency of more than 4,000 professionals to handle the delivery of the full range of IT services for NYS executive agencies. With this landmark IT Transformation initiative, the State hopes to achieve enhanced IT capabilities to improve government services and enable it to build an IT environment that:

- Maximizes existing resources
- Meets agency business needs with world class-customer service
- Creates a talented, innovative IT workforce
- Increases accountability
- Provides cost savings for the State

As part of the State’s IT Transformation process, IT customer agencies are grouped into clusters. A cluster is a grouping of agencies that have similar challenges, customers, data, business processes, and common IT needs. HCR is part of the Citizen Services Cluster.

## 2.4 Business Need

This section provides an overview of the business needs of this Project. Detailed Contractor requirements are specified in Section 9 of this RFP.

### 2.4.1 Business Goals

New York State released a Tier II Assignment entitled the Rent Regulation Initiative that called for DHCR’s Business Transformation and Technology Transformation. As a result of the transformation work that has been completed, a number of improvement themes and opportunities were developed. The opportunities have been summarized along ten key themes which support ORA in meeting its mandate and in enabling TPU to carry out its strategic objectives. The expected benefits of these themes are the essence of the business transformation DHCR seeks. The improvement themes and opportunities are summarized in the table below.

1	Improve internal Processes	<ul style="list-style-type: none"> <li>▪ Automate forms online with comprehensive error checks, and links to databases</li> <li>▪ Decrease ORA processing times through improved processes such as check lists, process flows, standardization, training, automation, standardized templates</li> <li>▪ Implement new philosophy of case process times by shifting time and effort away from case processing and administrative processes to adjudication and decision making</li> </ul>
2	Implement internal ORA Operational Improvements	<ul style="list-style-type: none"> <li>▪ Develop and implement organizational wide performance management methodology</li> <li>▪ Address technology challenges such as enabling system users the ability to create their own reports.</li> <li>▪ Develop and implement staff training and cross training</li> <li>▪ Develop operational and service level agreements with ITS</li> </ul>
3	Enhance Data Accuracy and Integrity	<ul style="list-style-type: none"> <li>▪ Capture missing building and apartment rent registrations for relevant enforcement periods of review</li> <li>▪ Minimize the use of preferential rents being used to create vacancy turnover or artificially raise legal rents (4-year rule)</li> </ul>
4	Take steps to reduce ORA caseload	<ul style="list-style-type: none"> <li>▪ Reduce ORA case processing through improved triage of cases, and improvement in data input and accuracy</li> <li>▪ Identify opportunities for changing delivery model for certain services or move toward self-service for all end-users.</li> </ul>

5	Information Collection and Sharing	<ul style="list-style-type: none"> <li>Improve technology to include case processing work flows and reporting</li> <li>Leverage existing data sources and integrate data where appropriate (ORA, TPU, Housing Preservation &amp; Development (HPD), Rent Guidelines Board (RGB), etc.)</li> </ul>
6	Utilize data analytics to support investigative activities	<ul style="list-style-type: none"> <li>Investigate standard data analytics results (Individual Apartment Improvement (IAI), fraud etc.)</li> <li>Improve ability to enforce rent regulations and related controls</li> </ul>
7	Proactive action against problem owners	<ul style="list-style-type: none"> <li>Proactively prevent non-compliance trends by identifying problem owners associated with multiple buildings</li> <li>Seek opportunities to improve tenant protection when trends in non-compliance arise</li> </ul>
8	Incentives, rent reduction	<ul style="list-style-type: none"> <li>Proactively grant rent reduction orders for building wide service complaints etc.</li> </ul>
9	Increase Access to Information and Transparency of Data	<ul style="list-style-type: none"> <li>Allow clients to look up the detailed status of their open / pending case(s) online</li> </ul>
10	Build awareness of rights and obligations	<ul style="list-style-type: none"> <li>Work with tenant groups, legislators, etc. to increase awareness of fraud and non-compliance</li> </ul>

## 2.5 Rent Regulation System Modernization

The objective for this Project is to facilitate a system modernization for DHCR that will implement business process, policy and organizational changes, in combination with new supporting technology, thus enabling the organization to operate more effectively in terms of current/ongoing service delivery. This rent regulation system modernization will be achieved through improved, re-engineered and new business processes. The Project will leverage existing documentation (for example, documentation resulting from the Agency’s LEAN process improvement initiative) and interviews with DHCR and ITS SMEs, to create detailed business requirements and a detailed functional design including, but not limited to, Use Cases, screen mock-ups and navigation which will be derived, documented and provided as input to the technical development activity described below.

Based on the system modernization activities, the objective of technical activities is to create a solution that incorporates the functionality of the legacy HUTS case processing and rent registration application and properly integrates the case management, enterprise content management, reporting, as well as data warehouse and data analytics functionality.

Leveraging the detailed business requirements and detailed functional design as input, the Technical Solution Architecture will be created. Based upon ITS approval of the Technical Solution Architecture, solution software development, testing and implementation activities will follow.

The new solution will carry over existing HUTS functionality from the old system that is validated as still relevant for DHCR. It will also embody the requisite functionality to implement the process and policy changes/improvements captured through the system modernization activity.

#### **2.5.1.1.1 System Users**

The system is initially expected to provide access to the following high-level user groups and counts:

- ORA – 300 users
- TPU – 45 users
- HCRLD – 100 users
- Owners – 40,000 users
- Tenants –150,000 users
- HPD – 45 users
- Office of Court Administration – 116 users
- NYC Department of Finance – 32 users
- NYS Department of Tax and Finance – 2 users

DHCR users will be located at approximately eight sites across Albany, New York City and Westchester. HPD users will be located at 1 site in New York City. OCA users will be located at five sites in New York City. DOF users will be located at one site in New York City. TAX users will be located at one site in New York City. Owners and Tenants will be accessing the system over the Internet.

## **2.6 ITS Role**

ITS will be the single point of contact for the resulting contract with the Contractor. Prior to commencement of the Contract engagement, ITS will identify a project manager that will be responsible for managing the project for DHCR.

## **3 BUSINESS REQUIREMENTS**

Business Requirements for the Rent Regulation System Modernization can be found in Attachment J.

## **4 TERM AND PLACE OF PERFORMANCE**

The term of the Contract will be five years (5) from the date of approval by the State Comptroller.

The Project will necessarily involve interaction with DHCR and ITS staff in multiple geographic locations, particularly Albany, NY and NYC.

Some implementation activities may need to occur at individual DHCR user locations, primarily in New York City, for example, user acceptance testing. End user training will be conducted in person and will occur at DHCR locations in New York City.

DHCR/ITS will provide office space, meeting rooms, access to systems, web-based conferencing tools, and document management and collaboration tools, as needed, upon Contractor's request.

## **5 PROCUREMENT COMMUNICATION, MANDATORY INTENT TO BID**

### **5.1 Filing by Bidders of Mandatory Intent to Bid**

Filing of a Notice of Intent to Bid (using Attachment W) is a mandatory prerequisite to further participation in this Procurement. ITS reserves the right, in its sole discretion, to alter the information and schedule shown above. In such an event, ITS will publish the notification on its website at: <https://its.ny.gov/competitive-procurement-opportunities>. Bidders are not obligated to bid based on submitting an Intent to Bid. However, failure to submit an Intent to Bid will result in the company being precluded from bidding.

### **5.2 Inquiries from Bidders**

All inquiries concerning the RFP should be sent to the following email address:

[its.sm.ITS\\_BIDS@its.ny.gov](mailto:its.sm.ITS_BIDS@its.ny.gov)

ITS has provided an Inquiries Template form, Attachment V, which provides the format/content vendors are requested to use in submitting questions. Inquiries submitted after the date set forth in the RFP calendar may not be answered. Bidders are strongly encouraged to submit inquiries at their earliest convenience.

Please Note: Pursuant to New York State Finance Law §§139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between NYS and Bidders during the procurement process. Information about the Procurement Lobbying Act and the text of the Act are available at the following URL:

<http://ogs.ny.gov/Aboutogs/regulations/defaultAdvisoryCouncil.html>

Administrative issues pertaining to sending/receiving email through the designated mailbox may be reported at (518) 402-2725.

Any questions related to this RFP or requests for clarification, must be submitted via electronic mail to the ITS Sole Designated Contact by the date and time specified in the Calendar of Events. Neither phone nor fax inquiries will be accepted. Administrative issues pertaining to sending/receiving email through the designated mailbox may be reported at the telephone number identified on the Cover page of this RFP.

The submission must cite the particular page, section and paragraph number, where applicable. ITS has provided an Inquiries Template form, Attachment V.

### **5.3 Information to be Communicated by ITS**

ITS shall provide all information, responses to questions and communications concerning the solicitation in writing by electronic mail to all vendors. Such information will include, but may not be limited to, answers to Bidder inquiries; RFP clarifications and amendments; clarification of Process rules and Evaluation criteria. ITS has established a procurement website for the purpose of disseminating information relating to this procurement and vendors are encouraged to monitor this website. The website URL is provided on the beginning pages of this RFP.

## 6 RFP CALENDAR

### 6.1 RFP Calendar

Milestone	Date	Comment
1. RFP Release Date	2/24/2016	
2. Deadline for submission of Vendors' Questions	3/10/2016 4:00 PM EST	
3. Deadline for filing Mandatory Notice of Intent to Bid*	3/15/2016 4:00 PM EST	
4. Issuance of Response to Submitted Questions	On or about 3/29/2016	
5. <b>BID PROPOSALS DUE DATE</b>	4/18/2016 4:00 PM EST	Refer to Section 16 Bid Submission
6. Vendor Presentations	On or about Week of May 23rd, 2016	
7. Anticipated Notification of Award	On or about June 13th, 2016	
8. Debriefing Request Deadline	On or about June 13th, 2016	
9. Bid Protest Deadline	No later than 10 business days from date of award announcement	
10. Timeframe for Contract Negotiations	25 business days from date of award announcement	
11. Timeframe for Contract Approval: Contract to Begin	Approximately 90 days after completion of contract negotiations	

### 6.2 Method and Notification of Award

It is the intent of ITS to award one (1) contract for the services described in this RFP. The award resulting from this RFP will be made based on a "Best Value" determination to a responsive and responsible Bidder. This means that the proposal that optimizes quality, cost and efficiency among responsive and responsible Bidders shall be selected for award (State Finance Law, Article 11, Section 163). The evaluation ratio will be best value 30% cost and 70% technical.

The successful Bidder shall be notified by ITS.

## 7 MWBE SUBCONTRACTOR INTEREST

New York State certified MWBEs may request that their firm's contact information be included on a list of MWBE firms interested in serving as a subcontractor for this procurement. The listing will be publicly posted on the ITS website for this solicitation for reference by Bidders. A firm

requesting inclusion on this list should send contact information and a copy of its NYS MWBE certification to [its.sm.ITS\\_BIDS@its.ny.gov](mailto:its.sm.ITS_BIDS@its.ny.gov). Nothing prohibits an MWBE firm from being a Bidder.

## **8 MWBE GOALS**

For purposes of this solicitation, ITS hereby establishes an overall goal of 30% for MWBE participation, 15% for New York State certified minority-owned business enterprises (“MBE”) participation and 15% for New York State certified women-owned business enterprises (“WBE”) participation (based on the current availability of qualified MBEs and WBEs). Refer to Attachment C, Section 1.32.

## **9 SCOPE**

### **9.1 Project Management Requirements**

Project Management is defined as the communication mechanisms, controls, tasks, and procedures that the Contractor will use to manage all the tasks identified in this solicitation. It is the discipline that employs the Contractor’s knowledge, skills, and abilities to achieve project goals.

ITS and DHCR require the Contractor to use the State’s Project Management Methodology (<http://www.cio.ny.gov/pmmp/guidebook2/index.htm> ). The Contractor will work closely with the ITS Citizen Services Cluster Program and Project Management Office (PMO), and produce project-management related documentation as requested.

The expectation of ITS and DHCR is that, irrespective of the Contractor’s primary office location, the Contractor should be prepared to make its staff available for in-person meetings with the State project team members, as needed, when given five (5) business days’ notice.

#### **9.1.1 Project Manager Responsibilities/Requirements:**

- The project manager shall report to and receive direction from ITS. ITS shall be the Contractor’s single point of contact on this Project.
- The project manager shall manage the scope of the Project to ensure successful completion of the contracted services and deliverables on schedule and within budget.
- The project manager shall utilize the project management methodology and best practices as defined and established in the New York State Project Management Guidebook, Release 2 and as codified in the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK) Fifth Edition or subsequent editions (American National Standards Institute (ANSI)/PMI 99-001-2008) and the ISO/IEEE 12207-2008, System and Software Engineering - Software Lifecycle Processes where applicable.
- The Contractor’s approach shall include a kick-off meeting and initial working session.
- The project manager shall create and maintain at minimum the following Project documentation (related deliverables are indicated in parenthesis):
  - A Project Scope Statement (Project Management Plan)
  - Project Schedule; no task shall exceed 80 hours, predecessor and successor activities shall be defined, dependencies, and critical path should be clear (Implementation Plan)
  - Project Expenditure (Project Management Plan)

- Quality Management and Assurance Plan (Project Management Plan)
  - Risk Management Plan (Project Management Plan)
  - Change Control Process (Project Management Plan)
  - Acceptance Management Process (Deliverable Expectations Documents)
  - Issue Management and Escalation Process (Project Management Plan)
  - Communication Plan (Project Management Plan)
  - Organizational Change Management Process
  - Go-Live and Transition Plan (Rollout Plan)
  - Regular Project Meeting Agendas, Minutes, and Status Reporting as per ITS PMO and DHCR standards
- The project manager shall be prepared to produce Gantt charts depicting start date, end date, and duration of individual tasks;
  - The project manager shall be prepared to produce a graphical display of the Project's critical path;
  - The project manager shall be prepared to produce Percent complete status of individual tasks;
  - The project manager shall be prepared to produce Calendar driven, manpower loading charts, by individual task, for Contractor, ITS and DHCR staff including variable man-hours per work day;
  - Knowledge and compliancy with ITS procedures and policies.

#### **9.1.2 Project Schedule**

- The project manager shall monitor the Project schedule and notify ITS and appropriate parties if any unexpected changes to the schedule should arise.
- The project manager shall ensure that the team clearly understands the objectives of the project and that the resulting process and program meets all the business requirements.
- The project schedule shall contain clearly identifiable deliverables and milestones.
- The project schedule shall be base-lined, so that variance from the baseline may be reviewed and approved.

#### **9.1.3 Project Tracking and Status Reporting**

- The Contractor must be prepared to automatically generate various reports as requested by ITS to reflect the Project's status at any point in time.
- The project manager shall track progress against the schedule and track status in a format and on a schedule approved by DHCR and the NYS ITS Citizen Services Cluster PMO.
- The project manager will be responsible for any additional reporting and meeting requirements required by ITS.
- The project manager shall ensure that the Project repository is maintained according to ITS standards, within an Office 365 Share Point website (provided by ITS).

#### **9.1.4 Risk, Issue, and Decision Tracking**

- The project manager shall document and manage Project risks, issues, decisions, and action items as directed and consistent with the State's project management methodology.

- The project manager shall encourage team members, management, and stakeholders' participation and openness regarding the sharing of potential risks.
- The project manager shall confer with ITS as necessary to assess impact and likelihood of identified risks and appropriate risk management strategies.

#### **9.1.5 Project Staffing**

- The project manager is responsible for maintaining a resource plan to the extent that at all times s/he can report on staffing needs or changes.
- The project manager shall notify ITS should it become necessary to replace key staff and shall provide replacement staff members of equal or superior skills and qualifications.

#### **9.1.6 Project Meetings**

- Unless otherwise approved, all project management meetings shall take place at DHCR State Offices in the Albany, NY location and where necessary with WebEx and/or video conferencing provided.
- The project manager shall provide meeting agendas in advance of any and all Project meetings using the template format provided by ITS.
- The project manager shall either take meeting minutes or assign a scribe to do so for all project meetings. The project manager is responsible for ensuring the meeting minutes are documented using the ITS template standards. All minutes shall be timely and appropriately shared with the team or sub-team.
- The Contractor must be prepared to make its staff available for in-person meetings with the State project team members, as needed, when given five (5) business days' notice.

#### **9.1.7 General Project Management Information**

- The project manager and his/her team shall be made expressly aware that the data, information, and reports collected and prepared by the Contractor as part of the Project shall be deemed owned by the State. The project manager must ensure that all NYS Information Security Guidelines and applicable policies are adhered to.

## **9.2 Experience Design Requirements**

### **9.2.1 Overview**

A primary measure of success for this project is the "citizen experience" that results from use of this system within the wider context interacting with New York State. Organizationally-centric and technology-centric mindsets should not dominate. Citizen experiences should be intentionally and excellently designed through a human-centric approach from the highest levels of the "customer journey", through the system interaction flows, to the visual design of user interfaces.

Though the citizen experience is paramount, the experience of secondary users of the system should be accounted for and directly designed in a similar manner.

### **9.2.2 Design Methodology**

Experience Design activities shall be grounded in industry standard methodologies. "Experience Design" as an umbrella term includes many supporting sub-disciplines known by varying terms in the industry such as customer experience design, user research, user experience design,

interaction design, human computer interaction (HCI), user interface design, etc. Key expected design methods are defined and outlined below:

### **Personas**

The purpose of a persona is to create reliable and realistic representation of key audience segments or user archetypes for a particular product or service.

Though there is not a finite number of required personas, typically, 3-5 personas should be created that narrowly define specific subsets and/or archetypes of the user base.

### **Journey Mapping**

Journey Mapping is a visually illustrated representation of the customers' processes, needs, and perceptions throughout their interaction and relationship with an organization.

All experience design work shall be grounded in personas and scenarios - some personas/scenarios will exist already, some will need to be further explored and defined. These personas and scenarios in turn provide the blueprint for usability testing in which the functionality and experience is tested with actual citizen end users.

### **User Stories**

User stories are short, simple descriptions of a feature told from the perspective of the person or group who desires the new capability, usually an end-user or customer of the system. The user story describes a type of user, what they want and why. User Stories define motivations, but they don't define Implementation (though they can be tied to use cases and functional requirements over time). User Stories are an extension of personas and scenarios as an input into functional requirement, but should not be confused with use cases.

User stories shall be created to connect personas/journeys/scenarios to requirements and should be used to help prioritize features through a user-centric lens.

### **Usability Testing**

Usability Testing is a user-centered design technique used to evaluate a product or service by testing it on a representative user base. During a test, participants will try to complete typical tasks while observers identify any usability problems by watching, listening and taking notes.

Usability testing should begin at early wireframe/prototype phases.

#### **9.2.3 Design Expertise**

Experience design activities shall be overseen by an experience design lead and carried out by practitioners skilled appropriately to each phase and activity. The experience design lead should also be available to provide support and consultation as necessary during development phases.

#### **9.2.4 Agile Experience Design**

Batch review of wireframes/prototypes/artifacts and clear signoff milestones are desired, but the design process should also be flexible so that unforeseen experience issues which are identified through usability testing, can be raised at any point in the lifecycle.

If usability testing is not satisfactory, design activities should be able to be activated to resolve the issues.

### **9.2.5 Technology Constraints**

Experiences will be designed to work within the framework, capabilities, and constraints of the selected technologies (refer to Attachment K for specifics).

### **9.2.6 New York State Branding**

Visual design will be consistent with the New York State brand guidelines.

### **9.2.7 Accessibility**

All design must meet NYS accessibility requirements <http://on.ny.gov/accessibility-policy>

### **9.2.8 ITS Experience Design Team Coordination**

To ensure enterprise alignment, the proposed design methodology, toolset, and project plan shall be reviewed with the ITS Experience Design Team at the beginning of the project, at the completion of each major phase, and at the end of the project (lessons learned).

### **9.2.9 Source files**

All experience design artifacts created during the project shall be compiled and delivered to both the ITS project manager and the ITS Experience Design Team at the end of the engagement. All source files shall also be included (e.g. Photoshop, Illustrator, wireframe source files, etc.).

### **9.2.10 Pre-Work**

ITS will conduct a number of design activities prior to contractor engagement. These activities will include:

- Conducting workshops with project stakeholders to gain an understanding of citizen/user needs.
- Creating three Customer/User personas using standard ITS persona templates.
- Creating three Customer Journey Maps based on the personas.

The artifacts resulting from these activities will be provided to the Contractor once the project begins.

## **9.3 Data Conversion Requirements**

The Contractor will be responsible for converting data from the legacy HUTS and related systems. ITS will provide resources skilled in the Model 204 platform to assist in extracting data from the existing legacy systems.

### **9.3.1 HUTS Data**

As of June 2015 there were approximately 91 million records in 67 files that need to be migrated into the new platform. These records will fall into one of the following categories.

- Uploaded into the new system so that ORA can finish processing the cases, registrations, etc.
- Uploaded into the data warehouse for reporting purposes.
- Excluded from any upload due to retention/disposal requirements.

### **9.3.2 Enterprise Content**

The existing DHCR Enterprise Content Repository is Open Text's Content Server Version 10 Update 10 which resides on Windows 2008 R2 virtualized servers. The backend database runs on SQL Server 2008.

The ORA Repository as of June, 2015 contains:

- ORA (New), ORA (Archive), ORA Rent Information, Tenant Protection Unit documents
- Number of documents: 1,228,545
- Document Volume: 485 GB
- Database Volume: 26 GB
- Average Growth: 8,025 documents/month

The target repository is addressed in Attachment K.

### **9.3.3 TPU SharePoint Data**

A SharePoint team site is used to track dates and statuses of investigations performed by the Tenant Protection Unit. The information collected is stored in a SharePoint list and it contains pointers to the documents referred to in Section 9.3.2. above. The information collected in this SharePoint site will need to be converted into the new solution.

As of February 2016 there were several thousand records

## **9.4 Knowledge Transfer and Training Requirements**

The Rent Regulation system will be a mission-critical system that will be used on a daily basis by many DHCR staff. ITS considers the training of these users to be critical for buy-in and the daily use of this system. ITS will coordinate the review and approval of all Contractor-provided training materials, including training plans and role-based training materials.

- The Contractor shall provide assistance to ITS to implement a Rent Regulation Training Environment in one of the designated Technical Environments.
- The Contractor shall provide the capability to refresh the Training Environment for each training session.
- The Contractor shall develop the training data based on ITS and DHCR inputs.
- The Contractor shall plan, organize, staff, direct and control the activities of their training team to meet the organizational and training goals of the Project.
- The Contractor shall manage the training program, report all activities and schedule all activities.
- The Contractor shall perform a training needs analysis that identifies the:
  - Critical training focus areas
  - Role-based training modules
  - Role-based training media
- The Contractor shall refine and deliver a training plan identifying the schedule for all role-based training sessions.
- The Contractor shall develop customized role-based training materials for each role. Role-based training materials shall include:
  - Participant Guidebooks (Printed and Electronic), including exercises

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- Instructor Guidebooks (Printed and Electronic), including exercises and answers
  - PowerPoint Presentations
  - User Manuals
  - Frequently Asked Questions (FAQs)
- The Contractor shall plan and perform classroom-based training at State training facilities in NYC. A sufficient number of sessions to support the number of end-users indicated above shall be provided.
  - The Contractor shall plan and provide training to DHCR User Acceptance Test (UAT) participants prior to UAT.
  - The Contractor shall develop Help Desk Diagnostic Scripts to aid Help Desk Personnel in diagnosing problems.
  - During the maintenance period, the Contractor shall update impacted training material whenever software changes, including customizations, affect the operation of the software.
  - During Implementation, the Contractor shall conduct knowledge transfer in accordance with the approved Project knowledge transfer approach as defined in the Knowledge Transfer Plan.

Training will focus on end-users internal to DHCR. The table below provides an indication of the expected types (roles) of end users and expected volumes of end users.

<b>End-User Roles</b>	<b>Anticipated Number of End Users</b>
TPU Administrator	3
TPU Executive	2
TPU Supervisors	6
TPU Processors	31
ORA Administrator	3
ORA Executive	5
ORA Inquiry	45
ORA Rent Registration	5
ORA Outside Agency Inquiry	20
ORA Supervisors	95
ORA Processors	220
HCRLD Administrators, Executives and Supervisors	50
HCRLD Processors	50
<b>Total</b>	<b>443</b>

## 9.5 Support Requirements

### 9.5.1 Technical Support and Help Desk Services

Tier 1 and 2 support will be provided by ITS and DHCR staff.

The Contractor shall provide Tier 3 help desk support wherein specific ITS contacts will be the main interface between the Agency and the Contractor.

The Contractor’s Tier 3 help desk support shall include the following:

- Email and phone support (via a toll-free #) 9:00 AM to 5:00 PM ET on weekdays, excluding New York State designated holidays
- Remote diagnostics
- Remote access to the Contractor’s ticketing system
- After hours/day coverage may be required for a defect for certain periods in any year when the Office of Rent Administration may be required to have a system, or one of its systems, available on a 24/7 basis. This past year that 24/7 capability was required for a 3-week period when the many laws administered through the system were the subject of legislative renewal (and were renewed for a four year period). Ordinarily such capability would be required for a zero to one-week period per year.

The Contractor shall attend on-going support status meetings with ITS personnel, as needed.

The Contractor shall meet or exceed the Service Level Objectives indicated below:

<b>Defect Severity</b>	<b>Maximum Response Time</b>	<b>Defect Resolution</b>	<b>Resources Applied</b>	<b>Hours and Days of Coverage</b>
Level 1	2 hours	24 hours	Contractor will provide resources to fix until completed.	9:00 a.m. to 5:00 p.m. ET weekdays
Level 2	4 hours	5 days	Contractor will provide resources to fix until completed.	9:00 a.m. to 5:00 p.m. ET weekdays
Level 3	2 business days	15 days	Contractor and State will agree to resources applied.	9:00 a.m. to 5:00 p.m. ET weekdays

**Level 1 Defect** - A problem whose nature and/or severity prevent the State from continuing its business. A Level 1 Defect may have one or more of the following characteristics:

- A critical function of the application is not available;
- The application hangs indefinitely and/or causes other State applications to hang;
- The application crashes and/or causes other State applications to crash; and/or
- A security incident has occurred or is suspected to have occurred.

**Level 2 Defect** - may have one or more of the following characteristics:

- The performance, functionality or usability of one or more parts of the application are severely degraded;
- Multiple users are impacted; and/or

- One or more business functions are unavailable or unusable by the end users.
- Incorrect application business function, resulting in data integrity issues

**Level 3 Defect** - A failure of a system or part thereof which has a minor impact on a State business process and can be handled on a non-immediate basis. Examples may include user requests (e.g., a report is not formatted correctly) and peripheral problems (e.g., output fails to print properly).

The Contractor shall not close a Defect Fix unless that Fix shall have been demonstrated to either: (a) repair the functionality, performance and usability of the application to its pre-Defect level or (b) improve the functionality, performance and usability of the application from its pre-Defect level.

Unless, for a particular defect, the State has provided prior written approval for different response times, the Contractor shall, for each calendar month and for each Defect Severity Level, respond to one hundred percent (100%) of reported Defects within the Maximum Response Time during Hours and Days of Coverage.

Note: The State will determine the level of severity of the defect.

**9.5.2 Maintenance Services**

The Contractor is responsible for Corrective Maintenance – i.e. diagnosing and fixing defects including but not limited to those found by users. Adaptive Maintenance – i.e. modifying the system to cope with changes in the software environment (as described in Attachment K) will be the responsibility of ITS. Perfective Maintenance – i.e. implementing new or changed user requirements which concern functional enhancements to the software, will be addressed through the system change management process as described in Section 9.8.

**9.6 Project Deliverables**

	<b>Deliverable Name</b>	<b>Deliverable Type</b>	<b>Description</b>
	<b>Planning</b>		
1	Deliverable Expectation Documents (DED)	Document	The Contractor shall develop a set of documents (one for each deliverable) that outline the expectations for all deliverables identified herein. See Section 9.7 below for more information.
2	Project Management Plan	Document	The Contractor shall develop a comprehensive project management plan (the “Rent Regulation System Modernization Project Management Plan”).  The project management plan will address key areas of the Project, including but not limited to: <ul style="list-style-type: none"> <li>• Scope Management</li> <li>• Issue Management</li> <li>• Human Resource Management</li> <li>• Quality Management</li> <li>• Communication Management</li> <li>• Risk Management</li> <li>• Development Methodology Overview</li> </ul>

**Request for Proposals**

	<b>Deliverable Name</b>	<b>Deliverable Type</b>	<b>Description</b>
			<ul style="list-style-type: none"> <li>Defect Reporting and Resolution Methodology</li> <li>Change Control Methodology</li> <li>Project Expenditure</li> </ul>
3	Implementation Plan	Document	<p>The Contractor shall develop an Implementation Plan (consisting of both a written document and a project schedule) to show the schedule, approach, phases, releases, resources and risks as well as mitigation steps associated with implementing the required system. The plan should address how each deliverable will be completed.</p> <p>Implementation will include a pilot roll out involving a sub-set of users and functionality.</p>
4	Knowledge Transfer Plan	Document	<p>The Contractor shall develop a Knowledge Transfer Plan to keep DHCR and ITS staff up to date on knowledge related to system development activities starting from the analysis phase of the Project through design, development, testing and implementation as well as post-implementation activities.</p>
<b>Analysis and Design</b>			
5	Experience Design Discovery Deliverables		<p>The Contractor shall document the experience design research/analysis in the form, but not limited to:</p> <ul style="list-style-type: none"> <li>Personas</li> <li>Journey Maps / Scenarios</li> <li>User Stories</li> </ul>
6	Detailed Functional Requirements Document Deliverable	Document	<p>Using the business requirements provided in Attachment J as a starting point, the Contractor will conduct additional analysis as necessary to determine the detailed functional requirements for the system which shall be expressed in the form of User Stories.</p> <p>The resulting requirements will be captured in a Requirements Traceability Matrix that will become the document of record for the requirements. The Requirements Traceability Matrix will be used as the basis for developing test plans and will be maintained on an ongoing basis so as to reflect any decisions made regarding changes to the requirements as needs evolve during the course of the Project.</p>
7	Business Rules Deliverable	Document	<p>As part of the process of analyzing business requirements as indicated above, the Contractor will document all applicable business rules.</p>

**Request for Proposals**

	<b>Deliverable Name</b>	<b>Deliverable Type</b>	<b>Description</b>
8	Detailed Functional Design Deliverable	Document	<p>The Contractor shall develop the functional design that may include, but is not limited to:</p> <ul style="list-style-type: none"> <li>▪ Detailed Use Cases</li> <li>▪ Sequence Diagrams</li> <li>▪ Conceptual Diagram</li> <li>▪ System Context Diagram</li> <li>▪ Activity Diagram</li> <li>▪ Request/Response Document</li> <li>▪ Field Mappings Document</li> <li>▪ Wireframes/Prototypes</li> <li>▪ Visual Design mock-ups</li> <li>▪ Information Architecture</li> <li>▪ Configuration and customization specifications for screens Business processes</li> <li>▪ Business rules</li> <li>▪ Workflow</li> <li>▪ Notifications</li> <li>▪ Alerts</li> <li>▪ Functional system interfaces</li> <li>▪ Business objects and components</li> <li>▪ Data objects</li> <li>▪ Reports</li> <li>▪ Application Style Guide</li> <li>▪ Data entities list</li> <li>▪ Mapping to the Requirements Traceability Matrix</li> </ul>
9	Technical Solution Architecture Deliverable	Document	<p>In collaboration with ITS stakeholders, the Contractor shall define and document the specific Technical Solution Architecture for this Project that aligns with the platform as described in Attachment K. The Technical Solution Architecture will articulate how the IT system will accomplish the business activities and business requirements that require automation.</p> <p>The document will include a description of the expected behavior of the system from the perspective of the end-user and document system requirements that are traceable to the business requirements and future State business processes.</p> <p>The document will address functional requirements, non-functional requirements, policy requirements, interface requirements and data requirements. Preliminary Use Cases and system workflows shall be included, as appropriate.</p>
	<b>Test Planning</b>		
10	Quality Assurance Plan	Document	<p>The Contractor shall develop a plan that:</p> <ul style="list-style-type: none"> <li>▪ Describes the role of the Contractor's Quality Assurance function</li> </ul>

**Request for Proposals**

	<b>Deliverable Name</b>	<b>Deliverable Type</b>	<b>Description</b>
			<ul style="list-style-type: none"> <li>▪ Establishes quality assurance procedures and processes, risk identification, assessment, impact analysis and mitigation strategies</li> <li>▪ Formulates quality review activities and related reporting; provides project monitoring and related reporting; and defines any necessary Quality Assurance staff including subject matter advice, where applicable</li> </ul>
11	Plan for Testing Activities	Document	<p>The Contractor shall develop a plan for all testing activities including, but not limited to:</p> <ul style="list-style-type: none"> <li>▪ Unit testing</li> <li>▪ System testing (including security)</li> <li>▪ Integration testing (including security)</li> <li>▪ Performance testing</li> <li>▪ Regression testing</li> <li>▪ Smoke testing</li> </ul>
12	System Capacity Plan (Development, and Test)	Document	<p>The Contractor shall develop a plan to itemize the capacity needs of the system throughout the software development process (Development and Test).</p> <p>The plan will include detailed specifications for all Cloud-based hardware, software and related services for these environments to be fully operational for use on the Project.</p>
13	Development and Test Environments Installation and Configuration	Activity/Milestone	<p>The Contractor shall lead the process of installing and configuring NYS-provided cloud-based environments for development, and test as specified in the System Capacity Plan (Development and Test) and approved by ITS.</p> <p>The deliverable shall include a report itemizing all software and hardware components constituting these environments and validation that these components and the environment as a whole are operational.</p>
14	User Acceptance Test Plan	Document	<p>The Contractor shall develop a plan to coordinate and complete user acceptance testing activities.</p>
15	Usability Test Plan	Document	<p>The Contractor shall develop a plan to coordinate and complete usability testing activities.</p>
16	Configuration Management Plan	Document	<p>The Contractor shall develop a plan to manage the configuration of the system and maintain the integrity of that configuration.</p>
17	Change Management Plan	Document	<p>The Contractor shall develop a change management plan to manage changes resulting from this Project.</p>
	<b>Go Live Planning and Preparation</b>		

**Request for Proposals**

	<b>Deliverable Name</b>	<b>Deliverable Type</b>	<b>Description</b>
18	Training Plan	Document	The Contractor shall develop a training plan to schedule and complete training activities.
19	Data Conversion and Conversion Testing Plan	Document	The Contractor shall develop a plan to complete data conversion and conversion testing activities. Include data bridging, as appropriate and necessary.
20	System Capacity Plan (QA and Production)		The Contractor shall develop a plan to itemize the capacity needs of the system throughout the software deployment and operation process (QA and Production).
21	QA and Production Environments Installation and Configuration		The Contractor shall lead the process of installing and configuring NYS-provided Cloud-based environments for staging/QA and production as specified in the System Capacity Plan (QA and Production) and approved by ITS. The deliverable shall include a report itemizing all software and hardware components constituting these environments and validation that these components and the environment as a whole are operational.
22	Rollout plan	Document	The Contractor shall develop a plan for rolling out the system in phases and include a schedule, staffing, approach, checklists and risks as well as mitigation steps. The Contractor is expected to provide onsite support during the rollout as needed.
23	Operations Support and Maintenance Plan	Document	The Contractor shall develop a plan to provide operations support and maintenance and include the schedule, structure, staffing and risks as well as mitigation steps.
24	Plan for resolution of all defects other than critical and major defects	Document	The Contractor shall provide a plan to complete resolving all defects other than critical and major defects identified prior to Go Live. The plan will include, but not be limited to, scope, schedule, resources, and approach to resolving these defects.
25	User Manual	Document	The Contractor shall develop an online User Manual for reference by users of the system.
26	Operations Support and Maintenance Manual	Document	The Contractor shall develop a manual that provides detailed instructions and includes procedures and processes for operations support and maintenance.
	<b>Data Conversion and Testing</b>		
27	Execution and Completion of Data Conversion and Bridging, as appropriate	Activity/Milestone	The Contractor shall execute and complete all data conversion activities and implement any bridging necessary to provide a fully functional system release. The deliverable will include a

**Request for Proposals**

	<b>Deliverable Name</b>	<b>Deliverable Type</b>	<b>Description</b>
			report describing the successful conversion of all data and successful implementation of appropriate bridging.
28	Completion of Usability Testing and User Acceptance Testing	Activity/Milestone	The Contractor shall complete all testing activities, including but not limited to, unit testing, system testing (including security), integration testing (including security), performance testing, regression testing and smoke testing and as specified in the Plan for Testing Activities approved by ITS and DHCR. The Contractor shall also complete providing necessary support for successful completion of UAT and usability testing activities. The deliverable shall include a report documenting successful completion of all testing including UAT and usability testing.
29	Test Results	Document/Test Management Database	The Contractor shall report on the results of the planned testing activities as they occur.
30	Resolution of all critical and major defects	Activity/Milestone	The Contractor shall complete resolution of all critical and major defects identified prior to Go Live. The deliverable shall include a detailed report documenting successful resolution of all critical and major defects identified prior to Go Live.
	<b>Go Live</b>		
31	Completion of Pilot	Activity/Milestone	The Contractor shall complete implementation of a Pilot system in accordance with the Pilot Plan section of the Implementation Plan approved by DHCR and ITS. The deliverable will include a report documenting the successful completion.
32	Cutover of New System	Activity/Milestone	The Contractor shall complete cutover to the new system and commence full production operation. The deliverable shall include a report documenting completion of all planned rollout activities documented in the Rollout Plan approved by DHCR and ITS.
33	Completion of Organizational Change Management, Knowledge Transfer and Training Activities	Activity/Milestone	The Contractor shall complete all Organizational Change Management, Knowledge Transfer and Training Activities specified in the Change Management Plan Knowledge Transfer Plan and Training Plan approved by DHCR and ITS. The deliverable shall include a report documenting successful completion of these activities.
	<b>Post-Go Live Support</b>		
34	Resolution of all defects identified prior to Go Live and 180 days after Go Live	Activity/Milestone	The Contractor shall complete resolution of all defects identified prior to Go Live and that are identified up to 180 days after Go Live. The deliverable shall include a detailed report

	<b>Deliverable Name</b>	<b>Deliverable Type</b>	<b>Description</b>
			documenting successful resolution of all these defects.
35	Plan for resolving defects identified after 180 days of Go Live	Document	The Contractor shall provide a plan to complete resolving all defects identified after 180 days of Go Live. The plan will include, but not be limited to, scope, schedule, resources, and approach to resolving these defects.
36	Technical Support and Maintenance Services	Activity	The Contractor shall provide Technical Support and Maintenance Services as per section 9.5 Support Requirements.

### 9.7 Deliverable Related Provisions

As an initial deliverable after contract approval, the Contractor shall provide a Deliverables Expectations Document (see Deliverable 1 above), for ITS approval, that will document formal procedures allowing each organization to fully understand their role and responsibility for deliverable acceptance, within a mutually agreed upon timeframe after contract approval.

“Acceptance” of a deliverable shall be defined as written approval by ITS signifying that a deliverable meets expectations (refer to Attachment R – Deliverable Acceptance Form which will be used to capture formal acceptance). Verbal acceptance or acceptance by default is not sufficient.

In order for a deliverable to be considered “complete” and “acceptable,” it must be measured against ITS acceptance criteria. To ensure timely acceptance of deliverables, the Deliverables Expectations Document must, at a minimum, set forth the following:

- The identity of ITS/DHCR stakeholders who may be required to review deliverables before final acceptance and approval by ITS.
- The number of business days in which deliverables must be either approved or rejected by the Customer, subject to Customer’s approval.
- A process for rework of portions of the deliverable that are not accepted, and for resubmission of the deliverable for approval and Acceptance, as applicable.
- The escalation process that will be followed if a timely decision on approval or rejection of a deliverable is not met.

### 9.8 System Change Management

The Contractor will be responsible for performing any system changes requested by ITS. System Change Management is the process whereby core system enhancements, as determined by ITS and the Contractor, are made. This may include, but not be limited to, additional functions or requirements resulting in changes to existing file structures, data sets or processing logic of the system.

All ITS approved change requests will result in the establishment of deliverable-based projects based on the fully loaded hourly rates quoted in the Cost Proposal.

ITS will initiate modifications to the system through the submission of a change form (refer to Attachment Q – Change Request Form). The Contractor must respond in writing to the requests submitted by ITS within five (5) business days of receipt. The response shall consist of an

acknowledgment of the request and a preliminary assessment of the effort (e.g., number of hours) required for completing the modification and a quote. Contractor shall not commence any System Change Requests without ITS prior written approval. In addition, any change order that exceeds \$50,000 in amount will require the prior approval from the Office of the State Comptroller.

System Change Management Projects may fall into one of two major categories:

1. System Change Management Projects: These represent small projects (fewer than 250 hours) that may not require the application of detailed project management methodology.
2. All Other System Change Management Projects: These are projects estimated to require 250 or more staff hours to complete. These tasks require the application of detailed project management methodology, including status reporting.

## **9.9 Data Security**

The Contractor will be expected to comply with the terms of Attachment O – Standard Security Clauses for Sharing Data with External Entities.

## **9.10 Confidentiality and Non-Disclosure**

Employees and subcontractors of the winning bidder will be expected to complete and sign Attachment S – Confidentiality and Non-Disclosure Form prior to the beginning of the engagement.

## **10 MINIMUM BIDDER QUALIFICATIONS (PASS/FAIL)**

This section pertains to the Bidder; exclusive of any work completed by partners or subcontractors. The following minimum Bidder qualifications will be applied when reviewing proposal responses. Complete Attachment G to address how your firm meets each minimum Bidder qualifications. Failure to meet any of the requirements in this section will result in the bid being eliminated from consideration.

1. Bidder must be registered with the NYS Department of State as an entity authorized to conduct business in the State of New York.
2. The Bidder must be able to cite at least three (3) previous public sector projects, from within the past five years, which must be fully complete (i.e., in the warranty period or later), where the Bidder successfully implemented a new information system for a federal, state and/or local government that included the following:
  - Process transformation;
  - Case management system;
  - Migration of a legacy system to an n-Tier system;
  - External agency system interfaces; and
  - Use of Oracle-Siebel.

## **11 KEY POSITION QUALIFICATIONS**

Complete Attachments H.1 - H.7.

## **12 KEY PERSONNEL**

ITS requires that the following positions be designated as key personnel. Key Personnel are considered essential to the Contractor's ability to provide the services required under this RFP successfully, and Contractor must ensure the continued availability of key personnel for the duration of the contract and may not choose to replace Key Personnel without the prior written approval of ITS. If staffing changes are required for any Key Personnel, the Contractor shall first consult with, and seek the approval of ITS. Upon approval by ITS, the Contractor shall provide the resumes of potential replacements with equal or better qualifications for ITS review, selection and approval within seven (7) business days, or as otherwise agreed to by ITS. The departing Key Personnel must transition responsibility to the replacement personnel in accordance with a written transition plan preapproved by ITS.

- Engagement Manager – responsible for managing the contractual relationship with the State and oversight of the delivery of services. The Engagement Manager is accountable for the successful completion of all aspects of the resulting Contract.
- Project Manager - serves as the primary point of contact for the NYS Project Manager(s).
- Technical Lead – serves as the technical architect responsible for ensuring that the solution is implemented so as at to meet all requirements.
- Business Analysis/Modernization Lead – leads the team of analysts who will refine the functional requirements, capture business rules and develop the functional design.
- Lead Developer – leads the team of developers who will configure the platform to meet the business requirements.
- Trainer – responsible for defining training needs, development of training curricula and oversight of the Contractor's delivery of training.
- Experience Design Lead - responsible for leading design efforts for this project in a manner that ensures that a positive "citizen experience" results from use of this system.

## **13 THIS SECTION NO LONGER USED**

## **14 TECHNICAL PROPOSAL**

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

The Bidder must submit 14 bound paper copies, 1 of which must contain original notarized signatures, of their Technical Proposal. The Bidder must also submit two corresponding searchable electronic media copies on USB 2- or 3- compliant Flash Drives saved as Microsoft Word, Excel and/or Adobe Acrobat formats, and in Windows file format. Originally signed documents and drawings may be provided in Adobe Acrobat® pdf format, provided that the Bidder has submitted the documents containing the original signature elsewhere in its submission. Separate electronic media submissions must be made for the Technical and for the Cost and Administrative Proposals. Do not include information/files from the Cost and Administrative Proposal or any Cost Data in the paper copies or on the electronic media which contains the Technical Proposal.

The list below outlines the required information to be provided. The information requested should be provided in the prescribed format. Responses that do not follow the prescribed format may be eliminated from consideration. All responses to the RFP will be subject to verification for accuracy.

The information must be provided in the same order in which it is listed below. Your proposal must contain sufficient information to assure ITS of its accuracy. Failure to follow these instructions may result in disqualification.

*Index Tabs:* Each major section of the proposal must be labeled with an index tab that completely identifies the title of the major section as it is named in the mandatory Table of Contents.

*Page Numbering:* Each page of the proposal must be dated and numbered consecutively within each section submitted by the Bidder.

Proposals that make extensive use of color photographs or illustrations, or that include separate brochures or marketing materials and overly elaborate embellishments, are discouraged.

**Cost information must not be included in the Technical Proposal documents. If cost information is included in the Technical Proposal, the bid may be eliminated from consideration.**

**1) Formal Offer Letter**

Submit a formal offer using the template provided in Attachment U.

**2) Title Page**

Submit a Title Page providing:

- The RFP subject and number;
- The Bidder's name and address;
- The name, address, telephone number, and email address of the Bidder's contact person;
- Date of the Proposal;
- Bidder Firm's Federal Tax Identification Number;
- Bidder Firm's NYS Statewide Financial System Supplier Identification Number, if known;

**3) Completed Attachment B**

Completed Attachment B, Bidder Signature Page and Procurement Lobbying Certification signed by a partner, corporate officer, or other person authorized to commit its firm to all provisions of the RFQ and Bidder's proposal (original signature and notary stamp).

**4) Table of Contents**

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

Specific attention is directed to the Scope of Work listed in Section 9 (Scope) and the requirements listed in Section 3 (Business Requirements). The proposal should provide satisfactory evidence of the Proposer's ability to meet, and expressly respond to, each requirement and information request in this RFP.

**5) Executive Summary**

Provide an executive summary describing the Bidder's primary business focus and highlighting significant features of the Bidder's response. This section must include your firm's background in

providing the resources and services described in this RFP and your ability to provide such services as described in Section 9 (Scope). This section must highlight significant aspects of the Technical Proposal. Bidders are reminded that cost should not be included in this section. If cost information is included in the Technical Proposal the bid may be eliminated from consideration. Executive Summary is not to exceed 10 pages.

#### **6) Minimum Bidder Qualifications – Attachment G**

Submit a completed Attachment G – Minimum Bidder Qualifications, which must include information that details and demonstrates how your firm meets each of the minimum bidder qualifications in Section 10 (Minimum Bidder Qualifications (Pass/Fail)).

#### **7) Company Background**

The Technical Proposal must include a Statement of Company Background describing the Bidder's company, which must include:

- Name and address of Bidder's firm, parent company, affiliates, and other company locations/branches, if any.
- Name, title, address, e-mail address and telephone number of the Bidder's primary contact person.
- A description of the Bidder's firm corporate profile core business, service offerings, and length of time those business services have been provided.
- An organization chart of the Bidder's company. If the Bidder's company is a subsidiary of a parent company, the organization chart should be that of the subsidiary company. The chart should display the company's structure and the organizational placement of the oversight for this Project.
- Identify the level of the person who will be responsible for signing the Contract and must indicate the signing person's relationship with the company.
- Document the legal structure of the Bidder's company, including the date established and the state in which the Bidder's company is registered, licensed and incorporated, as applicable:

If subcontractors are part of the Bidder's Proposal, the technical Proposal must include a "Statement of Company Background" for each subcontractor that provides the same information required for the Bidder. Each Statement of Company Background must not exceed 5 pages.

#### **8) Technical Approach**

The Bidder shall describe, section by section, how it will meet the requirements included in Attachment J – Business Requirements. This description should include how the tool set described in Attachment K will be leveraged to meet the requirements. (Any proposed software deviations from the tool set in Attachment K must be justified and pricing for such additional software must be included in Attachment L.)

The Bidder shall also fully describe the implementation methodology that will be used to deliver the solution.

The Bidder shall also describe its user experience design approach. Approaches that align with the description in Section 9.2 above are preferred. Technical approach response is not to exceed 25 pages.

#### **9) Project Management Approach**

The Bidder should fully describe how it will align its project management methodology with the requirements outlined in Section 9.1 Project Management Requirements above. The relationship between the project management methodology and the implementation methodology must be addressed. Project Management approach response is not to exceed 5 pages.

### **10) Implementation Plan and Schedule**

The Bidder shall develop an Implementation Plan (consisting of both a written document and a project schedule) to show the schedule, approach, phases, releases, resources and risks as well as mitigation steps associated with implementing the required system. The plan must address how each deliverable will be completed. The schedule shall be incorporated into the successful Bidder's final Contract together with dispute resolution procedures in the event of issues in meeting the schedule. The final Contract will also address any subsequent failure in the termination provisions and the consequential damages provisions of the Contract.

Implementation will include a pilot roll out involving a sub-set of users and functionality.

### **11) Knowledge Transfer and End-User Training**

The Bidder must fully describe and demonstrate how it will address the requirements outlined in Section 9.3 Knowledge Transfer and End-User Requirements above. Response not to exceed 5 pages.

### **12) Maintenance and Support**

The Bidder should fully describe and demonstrate how it will address the requirements outlined in Section 9.5 Support Requirements above. Response not to exceed 5 pages.

### **13) Key Personnel and Staffing**

In this section of the Technical Proposal, Bidders should demonstrate that proposed staff have the necessary knowledge and demonstrated ability to provide the services required by this RFP.

The Technical Proposal must include all relevant information regarding the number, qualifications, and experience of the staff proposed for assignment to this engagement. ITS reserves the right to reject any personnel proposed by Bidder and will review and approve any substitutions in staff from those proposed by the Bidder in its Proposal.

#### **Key Personnel**

Using Attachments H.1 – H.7, identify the individuals your firm will provide for each of the seven Key Positions listed in Section 12 (Key Personnel). These attachments must contain detailed descriptions and demonstrate how each consultant requirement is met. Each response is not to exceed 5 pages.

#### **Staffing Plan**

The staffing plan must include the following information:

- A description of the strategy that will be used by Contractor to acquire human resources with the appropriate skills to staff the engagement and meet the obligations of this RFP;
- If subcontractors are to be used, the staffing plan must describe the specific need for the expertise of the subcontractor and describe the contractual arrangements with the subcontractor;
- A description of methodologies Bidder currently uses and will use to minimize or eliminate attrition of employees; and
- Training to be provided by Bidder to new hires before they are assigned to the Contract

Staffing plan response not to exceed 5 pages.

#### **14) Bidder and Subcontractor Experience and Customer References – Attachment I**

##### **Bidder and Subcontractor Experience**

Using Attachment I, Bidders should provide project summaries reflecting Bidder's and subcontractor's experience. Each project summary is not to exceed 3 pages.

##### **Customer References**

Bidder must provide references for at least three projects. If subcontractors are being used, a minimum of one reference must be provided for each subcontractor.

### **15 COST AND ADMINISTRATIVE PROPOSAL**

The Bidder must submit 4 bound paper copies, 1 of which must contain original notarized signatures, of their Cost and Administrative Proposal. The Bidder must also submit two corresponding searchable electronic media copies on USB 2- or 3- compliant Flash Drives in Microsoft Word, Excel and/or Adobe Acrobat formats, and in Windows file format. Originally signed documents and drawings may be provided in Adobe Acrobat® pdf format, provided that the Bidder has submitted the documents containing the original signature elsewhere in its submission. Separate electronic media submissions must be made for the Technical Proposal and the Financial/Administrative Proposal. Do not include information/files from the Technical Proposal in the paper copies or on the electronic media which contains the Financial/Administrative Proposal.

#### **15.1 Cost and Administrative Proposal**

The Bidder must complete Attachment L – Cost Proposal.

All pricing shall be inclusive of all labor, licenses, insurance, administration, overhead, travel, and all other applicable expenses required to meet the applicable RFP requirements. No other costs will be allowed. No overtime will be reimbursed by the State. Contractor will not be reimbursed for travel expenses incurred by Contractor employees in providing Services other than as set forth in this RFP. The Contractor must comply with all State and federal labor laws.

All proposed pricing will be considered the maximum price for the entire duration of the resulting contract (firm offer).

All proposed prices must be firm for 180 calendar days (from date of Proposal submittal).

The accuracy of calculations and formulas used to generate the proposed pricing is the responsibility of the Proposer.

All proposed costs must include all proposed services required to meet the applicable RFP requirements.

All terminology used in the Cost Proposal must be consistent with and correspond to the terminology used in the Technical Proposal.

Any proposed solutions that require licensing outside of the preferred technologies listed in Attachment K will need to include the license costs in the bid. Such costs should be entered in the tab entitled "Additional Software" in Attachment L.

The following additional Attachments are to be included in the Cost and Administrative Proposal:

- Completed Attachment B, Bidder Signature Page and Procurement Lobbying Certification signed by a partner, corporate officer, or other person authorized to commit its firm to all provisions of the RFP and Bidder's quote (original signature and notary stamp);
- Completed and signed Attachment D Lobbying Forms
- Completed and signed Attachment E, New York State Required Certifications
- Completed Attachment F, Encouraging Use of New York State Businesses in Contract Performance
- Attachment L, Cost Proposal (see Section 15 of the Statement of Work)
- Attachment M, Consultant Disclosure Form A
- Attachment N, Contractor Requirements for MWBE and EEO
  - M/WBE and EEO Policy Statement
  - M/WBE Utilization Plan (M/WBE 100)
  - Equal Employment Opportunity – Staffing Plan (EEO-100)
- Completed and signed Contractor Certification, ST-220-CA ([http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf))
- Proof of compliance with Workers' Compensation Coverage and Disability Benefits Coverage, as outlined in Contractor Insurance Requirements (see Attachment C – Standard Contract Terms and Conditions). There should be two forms submitted, one for proof of Workers' Compensation (NYS form CE-200, C-105.2, U-26.3, SI-12 or GSI-105.2) and one for Disability (NYS form CE-200, DB-120.1 or DB-155)
- Completed paper copy of Vendor Responsibility Questionnaire For-Profit Business Entity if online Questionnaire has not been completed  
[http://www.osc.state.ny.us/vendrep/forms\\_vendor.htm](http://www.osc.state.ny.us/vendrep/forms_vendor.htm)
- Attachment P, Extraneous Terms, if proposed;
- Attachment U, Firm Offer Letter (original signature and notary stamp).

## **15.2 Milestone Deliverable Payment Schedule**

A payment schedule for Proposed Fixed Purchase Price (as proposed by the winning bidder's response to Attachment L) will be negotiated on contract award and will conform to the following principles:

- 1) Up to sixty (60) percent of the deliverable component (see Deliverable Itemization tab of Attachment L) of the fixed purchase price shall be payable to the Prime Contractor upon ITS acceptance of clearly defined and measurable deliverables to ITS prior to system Go-Live.
- 2) Twenty-five (25) percent of the fixed purchase price payable to the Prime Contractor upon Go-Live.
- 3) The remaining fifteen (15) percent of the fixed purchase price is payable to the Prime Contractor once all system defects have been repaired to the satisfaction of ITS and, in no event, would be payable to the Prime Contractor prior to completion of the 180 Post-Go-Live period.

ITS will only make payment upon the signed acceptance of each deliverable by an authorized ITS representative. There shall be a direct correlation between the deliverables submitted in the bidder's project schedule and the negotiated deliverable payment schedule.

## **16 BID SUBMISSION**

All bids must be submitted and received by the bid submission dates and times indicated for “Bid Submission Deadline” as specified in this RFP. Bids received after the Bid Submission Deadline shall be rejected.

To be considered eligible, the Bidder must submit a complete response to this RFP in conformance with the format and content requirements set forth in Attachment A, Section 14 and Section 15 of this RFP. Any bid that does not provide all the information requested may be subject to rejection. The bid must contain sufficient information to assure the State of its accuracy.

Bidders are responsible for the accuracy of their bids. All Bidders are directed to take extreme care in developing their bids. Bidders are cautioned to review their bids carefully prior to bid submittal. All exceptions and deviations must be noted in bids. If a Bidder submits its proposal ahead of the submission deadline, it may submit an amended Proposal any time prior to the Proposal Submission Due Date indicated in Key Events/Dates.

NOTE: Bidders should request a receipt containing the time and date received and the initials of the receiver for all hand-deliveries and ask that this information also be written on the package(s).

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

## **17 EVALUATION PROCESS/CRITERIA**

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

ITS/DHCR, at its sole discretion, will determine which bid provides the best value. All bids will be evaluated and scored for technical qualities and cost. Bids failing to meet the minimum bidder qualifications (see Section 10) of this document shall be eliminated from consideration. The evaluation process will include separate technical and cost evaluations, and the result of each evaluation shall remain confidential until both evaluations have been completed and a selection of the winning bid is made.

The evaluation process will be conducted in a comprehensive and impartial manner. The Technical Proposal in compliance with other RFP requirements (other than the Cost Proposal) will be weighted 70% of a proposal’s total score and the information contained in the Cost Proposal will be weighted 30% of a proposal’s total score.

### **17.1 Completeness Review**

After the bid opening, each proposal will be screened for completeness and conformance with the requirements as specified in Sections 14 and 15 above and Attachment A, Proposal Checklist. Proposals that do not meet the requirements as set forth in this RFP may be deemed non-responsive, removed from further consideration and the Bidder notified accordingly. Proposals that pass the Completeness Review will proceed to the Technical Mandatory Evaluation.

In the event of minor omissions, proposals may tentatively be deemed to pass the Completeness Review. Proposals that tentatively pass the Completeness Review can be disqualified if the Bidder subsequently fails to correct the minor omission.

## **17.2 Technical Minimum Qualifications Evaluation (Pass/Fail)**

Proposals submitted by Bidders will be evaluated on a Pass/Fail basis to determine whether all of the minimum qualifications described in this RFP have been met. Proposals that do not meet all minimum qualifications will be deemed non-responsive and will not be further evaluated and the Bidder will be notified accordingly. Bidders that appear to meet minimum qualifications will proceed to the Technical and Cost Evaluations.

Bidders can be disqualified (during a subsequent portion of the technical preferred evaluation) if it is determined at any time during the evaluation that the Bidder did not meet all of the minimum qualifications specified in the RFP.

## **17.3 Written Technical Proposal Evaluation (60 points)**

The evaluation process will be conducted in a comprehensive and impartial manner. A Technical Evaluation Committee will review and evaluate all bids.

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

The technical evaluation is 60% of the final score.

## **17.4 Cost Evaluation (30 points)**

The Cost Proposals will be scored simultaneous with the Written Technical Proposal evaluation and will be based on a maximum cost score of 30 points. The maximum cost score will be allocated to the bid with the lowest price. All other responsive bids will receive a proportionate score based on the relation of their Cost Proposal to the proposal offered at the lowest cost, using this formula:

Cost points awarded = 30 potential points x (Lowest Cost Proposal / Cost of Proposal Being Evaluated).

The cost evaluation is 30% (up to 30 points) of the final score.

## **17.5 Preliminary Composite Score**

A preliminary composite score will be calculated by adding the Written Technical Proposal points and the Cost Proposal points. Finalists will be determined based on preliminary composite scores. Bidders susceptible to award will proceed to the next evaluation step.

## **17.6 Technical Presentations (10 points)**

Bidder technical presentations will be held for all Finalists in person in Albany, NY. Finalists who cannot be contacted to arrange an interview after three attempts may be disqualified. Each Finalist will be notified of the date, place, and time of their presentation. The presentation should demonstrate the Bidder's and/or proposed subcontractor's ability to provide the required services. The Bidder's key staff are strongly encouraged to attend the Presentation.

## **17.7 Final Composite Score**

A final composite score will be calculated by adding the final technical proposal points, the cost proposal points and the presentation points. The proposals will be ranked based on the combined scores. The Bidder with the highest score will be the winner of a tentative award subject to

successful contract negotiations and Attorney General and Office of the State Comptroller approval.

In the case of Bidders with the same total score, price shall be the basis for determining the award. When price and other factors are found to be substantially equivalent, the determination of the NYS Chief Information Officer (CIO) to award a contract to one of such Bidders will be final.

The approved bid award(s) between the State and the successful Bidder will not be binding until it has been approved in accordance with New York State's contract approval process

### **17.8 Award Results**

ITS will notify all bidders of the results of their bid.

### **17.9 Bid Protest**

Refer to Attachment T – Bid Protest Policy.

## **Attachments**

**Attachment A - Bid Submission Information**

**Attachment B - Bidder Signature Page and Procurement Lobbying Certification**

**Attachment C - New York State Standard Contract Clauses**

**Appendix A - Standard Clauses for NYS Contracts**

**Attachment D - Procurement Lobbying**

**Attachment E - New York State Required Certifications**

**Attachment F - Encouraging Use of New York State Businesses in Contract Performance**

**Attachment G - Minimum Bidder Qualifications**

**Attachment H.1 - Proposed Engagement Manager**

**Attachment H.2 - Proposed Project Manager**

**Attachment H.3 - Proposed Technical Lead**

**Attachment H.4 - Proposed Business Analysis Lead**

**Attachment H.5 - Proposed Lead Developer**

**Attachment H.6 - Proposed Trainer**

**Attachment H.7 – Proposed Experience Design Lead**

**Attachment I - Bidder Experience and Qualifications**

**Attachment J - Business Requirements**

**Attachment K - Technology Platform Overview**

**Attachment L - Cost Proposal**

**Attachment M - Consultant Disclosure**

**Attachment N - Contractor Requirements for MWBE**

**Attachment O - Standard Security Clauses for Sharing Data with External Entities**

**Attachment P – Extraneous Terms Form**

**Attachment Q – Change Request Form**

**Attachment R – Deliverable Acceptance Form**

**Attachment S – Consultant Confidentiality and Non-Disclosure Form**

**Attachment T – Bid Protest Policy**

**Attachment U – Formal Offer Letter Template**

**Attachment V – Inquiries Template**

**Attachment W – Mandatory Intent to Bid**