RFP C000575 ITS COMPETITIVE PROCUREMENT FOR:

DMV MODERNIZATION DATA QUALITY AND SYSTEM INTEGRATION

ITS’ Procurement Website: https://its.ny.gov/competitive-procurement-opportunities

DESIGNATED CONTACT FOR INQUIRIES AND SUBMISSIONS

Designated Contacts
Timothy Casella, Contract Management Specialist
Susan Martin, Contract Management Specialist

DMV MODERNIZATION DATA QUALITY AND SYSTEM INTEGRATION

RFP related questions must be submitted to ITS via electronic mail using the Vendor Questions and Extraneous Terms Form (Attachment 5) to the designated contacts for this RFP at its.sm.bestvalue@its.ny.gov

No other method of inquiries will be accepted. Administrative issues pertaining to sending/receiving email through the designated mailbox may be reported at (518) 473-9341.

IMPORTANT NOTICE: A Restricted Period under the provisions of the State Finance Law relating to procurement lobbying is currently in effect for this Procurement, and will remain in effect until State Comptroller approval of the Contracts resulting from this Request for Proposals (RFP) or any cancellation of this procurement. During the Restricted Period of this Procurement ALL communications must solely be directed, in writing, to the following individuals and shall be in compliance with the provisions of the State Finance Law relating to procurement lobbying and all other RFP instructions. Attempts to influence the Procurement, as defined by the State Finance Law, may only be made to the Designated Agency Contact. Other communications relating to the Procurement may be directed to the Solicitation Contact (see State Finance Law, §139-j[3][a]).

ITS ADDRESS FOR PROPOSAL DELIVERIES

Address to:
Timothy Casella, Contract Management Specialist
Susan Martin, Contract Management Specialist
NYS OFFICE OF INFORMATION TECHNOLOGY SERVICES
PROCUREMENT AND CONTRACT SUPPORT UNIT

If US Post Office standard and US Post Office overnight mail, use:
ATTENTION: Timothy Casella, PO BOX 2062, ALBANY, NY 12220

If UPS and FedEx express delivery overnight and ground service, Hand Delivery to front desk use:
ATTENTION: Timothy Casella, EMPIRE STATE PLAZA, SWAN STREET BUILDING, CORE 4, ALBANY, NY 12223
## RFP Calendar of Events

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<th>Date</th>
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</thead>
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<td>12/28/2018</td>
</tr>
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<td>2. Deadline for Bidder Minimum Qualifications and NDA Submission</td>
<td>01/14/2019 @ 2:00 PM EST</td>
</tr>
<tr>
<td>3. Issuance of Additional Documentation (Estimated)</td>
<td>01/17/2019</td>
</tr>
<tr>
<td>4. Deadline for Submission of Vendor Questions</td>
<td>02/01/2019 @ 2:00 PM EST</td>
</tr>
<tr>
<td>5. Issuance of Response to Submitted Questions (Estimated)</td>
<td>02/13/2019</td>
</tr>
<tr>
<td><strong>6. PROPOSAL DUE</strong></td>
<td><strong>02/28/2019 @ 2:00 PM EST</strong></td>
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SECTION 1 - PROCUREMENT OVERVIEW

This Request for Proposals (RFP) is part of the DMV Modernization Program that will transform and modernize the DMV by replacing existing legacy systems and improving business processes via a commercial off the shelf (COTS) product.

DMV has over 200 applications that have been constructed incrementally upon core systems and master files over the past 50 years. This has resulted in stores of data in separate databases with widespread duplication of processes and information. Through DMV RFP for Systems Modernization (DMV RFP C000890), an RFP aligned with this RFP, DMV seeks to replace many of their legacy systems with a COTS solution.

The New York State Office of Information Technology Services (ITS) issues this RFP (RFP C000575 Department of Motor Vehicles (DMV) Modernization Data Quality and System Integration) seeking from responsive and responsible Bidders a solution to ensure that all data quality and system integration tasks are completed for the DMV COTS solution. This RFP will focus on analysis, design, documentation, remediation, quality assurance, and implementation of integration/migration solutions for data migration and system integration to the COTS solution.

SECTION 2 – PROJECT SUMMARY

2.1 MINIMUM BIDDER QUALIFICATIONS AND ADDITIONAL BIDDER MATERIALS

Bidders must meet the minimum qualifications set forth in Attachment 6. Failure to meet all requirements in this attachment will result in the Proposal being deemed non-responsive and eliminated from consideration.

Within the last ten years, the Bidder must have completed three previous public or private sector projects with the total contract value of these three projects being at least $15M, resourced within the continental United States, which must be fully complete (i.e., in the warranty period or later for the final implementation), where the Bidder successfully implemented a modernization project focused on system integration and must have included at least one of the following:

- Remediation of mainframe legacy applications by creating/migrating to service-oriented architecture solutions
- Data migration of data from VSAM to relational databases
- Mainframe to .NET based systems

Proof of Minimum Bidder Qualifications must be submitted to ITS at its.sm.bestvalue@its.ny.gov by the date listed in the RFP Calendar of Events, using Attachment 6.

Bidders who submit proof of Minimum Bidder Qualifications, along with – NDA for Additional Documentation (Attachment 7), by the deadline provided herein will receive additional documentation, as set forth in Exhibit 3.

2.2 PROJECT BACKGROUND

The DMV Modernization program is an on-going multi-phase, multi-year program, which includes an initial phase of modernization projects, as well as the multi-phase RFP implementation for a DMV COTS solution (DMV RFP C000890). The COTS solution DMV seeks in DMV RFP C000890 will replace 139 DMV core systems and will integrate with 54 additional systems. There are 130 data stores involving over 200M master records that will need to be analyzed, prepared, and migrated. The DMV Modernization Program has 25-50 active projects running in parallel at any given point in time.
The first four years of the implementation of the DMV COTS solution will focus on the migration of the DMV core systems to a DMV COTS solution. In preparation of the DMV COTS solution implementation, ITS started work on Business Process Improvement, Data Quality/Migration, and System Integration work. This work will run in parallel with the implementation phase of the DMV COTS solution. This engagement will focus on the continued analysis and remediation which will serve in preparing the current DMV systems and data to be integrated and/or migrated to the DMV COTS solution. The analysis and development services provided by this procurement will continue during the DMV COTS solution vendor engagement.

As this RFP will complement the DMV COTS solution, an understanding of the DMV COTS solution will aid in understanding the work required under this RFP. The DMV COTS solution will implement core functionality in the order referenced below in Figure 1: DMV Modernization Core Systems and Processes.

**Figure 1: DMV Modernization Core Systems and Processes**

<table>
<thead>
<tr>
<th>Phase 1 COTS Vendor Provide – 110 application systems, 17 customer faced services</th>
</tr>
</thead>
<tbody>
<tr>
<td>Client – 55 applications, 9 customer services, 12 interfaces, 27 data stores, 99 exchanges</td>
</tr>
<tr>
<td>License – 18 applications, 14 customer services, 23 interfaces, 19 data stores, 57 exchanges</td>
</tr>
<tr>
<td>Financials – 18 applications, 1 interface, 9 data stores, 26 exchanges</td>
</tr>
<tr>
<td>Tickets – 19 applications, 5 customer services, 1 interface, 8 data stores, 43 exchanges</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Phase 2 COTS Vendor Provide– 29 application systems, 17 customer faced services</th>
</tr>
</thead>
<tbody>
<tr>
<td>Client – 17 applications, 1 customer service, 18 interfaces, 4 data stores, 12 exchanges</td>
</tr>
<tr>
<td>License – 18 applications, 2 customer services, 10 interfaces, 16 data stores, 15 exchanges</td>
</tr>
<tr>
<td>Financials – 1 applications, 4 interfaces, 1 data store, 7 exchanges</td>
</tr>
<tr>
<td>Tickets – 8 applications, 1 customer services, 4 interfaces, 4 data stores, 2 exchanges</td>
</tr>
<tr>
<td>Registration – 9 applications, 7 customer services, 4 interfaces, 6 data stores, 12 exchanges</td>
</tr>
<tr>
<td>Title – 1 application, 3 data stores</td>
</tr>
</tbody>
</table>

All Phases System Integration – 54 application systems, 11 customer faced services

The current DMV systems include but are not limited to the following platforms and services.

- Enterprise Elements – application and software portfolio with over 200 DMV applications
- Origin Source – catalog of 1,135 transactions and their originating system
- Biztalk – service bus transaction orchestration and gateway with 153 operations (122 real-time, 13 async, 18 batch)
- Actional – internal and external web services gateway with 612 services
- Akana – SOAP/REST services gateway with 18 services
- Business Objects – Crystal report repository with 492 reports
- Report2Web – web based mainframe reporting repository with 300 reports
- Elixer – mainframe AFP notifications design repository with 190 forms
• HP Exstream – output management for notifications, documents, and correspondence for 10 applications
• Proginet – managed file transfer for 1,751 transfer configurations, with 150,000 file exchanges monthly
• Mainframe Batch Jobs – 1,000 jobs run per day
• ERwin – database and VSAM master file metadata repository
• 102 VSAM Files
• 94 Production Databases (Oracle, SQL server, DB2)
• 200M master records
• Size on Disk: 3 Terabytes
• Number of records: 2 billion

The DMV modernization Program work has been organized as follows:

• Program and Software Quality Management – program support and quality assurance processes
• Business Process Improvement – analyze and document the as-is functions and processes, design process improvements, and automate the in-scope core activities with the new solution
• CRM/Portal and Internal Interfaces – document the current internal and external system UI user experience, design and develop specifications, integrate existing interfaces, and implement new user interfaces with the new system
• Core Processing – analyze, migrate, integrate, and deprecate the core processes, systems, shared functions, and data that are in-scope for delivery with the new solution
• Data Quality – inventory, analyze, export, stage, transform, and integrate the core data that is in-scope for delivery and access with the new solution
• System Integration – inventory, analyze, migrate, remediate, construct, and deprecate the systems and services that are in-scope for delivery or integration with the new solution

These will be managed for the entire life of the DMV Modernization Program, and will focus on the delivery of the systems and processes that are in scope for the defined phase. (See Figure 2 - DMV Modernization Program Scope). Proactive analysis and remediation of all current systems and processes in scope of the DMV Modernization, including those that are not within an active migration phase will be performed.

*Figure 2 - DMV Modernization Program Scope*
2.3 BUSINESS GOALS (FUTURE STATE)

The business goals for this procurement include, but are not limited to:

- Complete analysis, documentation and design of all existing in scope systems
- Remediation, development, quality assurance, and implementation for the integration of the application systems, as well as interim solutions for applications and services
- Complete analysis, documentation, data pipelining, staging, remediation, cleansing, quality assurance, and publication of all in scope data
- Migration of the current external identity management solution to the NYS NY.GOV ID directory services for 25,000-30,000 business accounts, including the development and implementation of a business entitlement and delegated administration solution
- Full project management and quality assurance management for all the above
SECTION 3 – SCOPE OF WORK

This engagement will run parallel with the DMV COTS solution vendor to migrate DMV core mission systems and data to a new COTS based modernized system (DMV RFP C000890). The winning vendor of this engagement will be responsible for the analysis, design, documentation, remediation, quality assurance and implementation of the integration/migration solutions for data migration and system integration to the COTS solution, as well as interim solutions for applications and services. The vendor will also be responsible for the complete analysis, documentation, data pipelining, staging, remediation, cleansing, quality assurance, and publication of all in scope data. Systems in scope for the DMV COTS solution implementation include the following core systems: Client, License, Financial, Ticket, Registration, and Title. The DMV COTS solution implementation will be divided into two 18-24 month phases that include the delivery of each of the core systems.

The DMV application systems, transactions, customer services, interfaces, data catalogs, and exchanges have been inventoried in a DMV Core System Analysis workbook using the following categories:

1. Client - category for all common functionality such as customer, user, administrative, inventory, reporting, and user portal
2. License – category for all driver license and ID supporting functions
3. Financial - category for all financial and ERP related services such as payment processes, refunds, bad credit, customer accounting, and employee administration
4. Ticket - category for traffic violation processes including tickets, dispositions, hearings, scheduling, and sanctions
5. Registration - category for all registered motor vehicles that include supporting functions such as custom plates, plate reservations, external partners, and inspections
6. Title - category for title and ownership for various types of motor vehicles

The DMV core systems and processes that are included in the DMV Modernization effort consist of 193 existing applications. 139 of those application systems along with the core system data will be migrated to the DMV COTS solution as the DMV systems of record. The remaining 54 existing application systems will require various levels of integration with the new solution and 29 of the 139 will require interim solutions prior to their final migration into the DMV COTS solution. This engagement encompasses the analysis through implementation of all interfaces, services, exchanges and data necessary for the DMV COTS system. All data deemed necessary by NYS will be staged, reviewed and cleansed. All data necessary for the DMV COTS system implementation will be published for the DMV COTS system vendor to migrate.

The deliverables for systems, services, and data will be segregated into work units that will be managed as 3 major cycles that will run iteratively and in parallel through the final implementation of the DMV COTS solution. The proposed DMV COTS implementation approach timeline is referenced in Figure 2 above. The contractor must adhere to the timeline for this engagement as referenced in Exhibit 1. The 3 major cycle descriptions are:

- **Cycle 1: Early Analysis and Deliverables** – focused on analyzing as-is processes and data, and creation of estimates, plans and roadmaps
- **Cycle 2: Detailed Analysis and To-Be Design Planning** – detailed analysis with to-be design deliverables, plans, and data transformation
- **Cycle 3: Systems, Services, and Data Remediation and Migration** – remediation, development, migration and implementation of systems, services, and data
3.1 PROPOSED SYSTEM INTEGRATION PLAN

The scope of the System Integration effort will include all application systems, online services, interfaces, and exchanges that are in the DMV core system analysis workbook categorized by core applications (Client, License, Financials, Ticket, Registration, and Title) that are marked as integrate.

The strategy for system integration will be to remediate, develop, and perform all testing of services that will be needed for integration with the core DMV COTS system in parallel with the phased system implementation. Wherever possible, the System Integration services will be proactively designed, constructed, and tested prior to final integration with the core DMV COTS system.

The Contractor is responsible for the deliverables of all system remediation and services associated with 54 applications, 11 customer services, 44 interfaces and 15 data exchanges that must be integrated with the DMV COTS solution. Additionally, 29 systems planned for DMV COTS phase-2 implementation, will need analysis for any interim DMV COTS phase-1 system interfaces.

The initial assessment of the technical capabilities, technologies, and integration requirements has resulted in the development of a conceptual solution, which is illustrated in Figure 3 – DMV Technology Solution Concept. The supporting technologies are coded as invest, tolerate, or migrate. Those coded as invest are strategic investments, while tolerate indicates a limited support solution, and migrate indicates that the technology is in use, but is not currently strategically aligned for longer term operational support. After the contractor validates assumptions and finalizes the solution architecture, ITS will approve the final detailed architecture and design patterns. Certain requirements are known, including the use of NY.GOV and Enterprise AD for the internal and external user identity store for authentication, as well as the ITS API Gateway (Akana) for integration with external entities. It is anticipated that Biztalk will be used for ESB/Orchestration services. However, ITS will seek the Contractor’s input to determine the most appropriate solution.

External ID Management Implementation is a component of the System Integration Plan that involves the migration of external business accounts from legacy systems to the New York State NY.GOV ID solution. The Contractor will be responsible for all aspects of the migration of DMV external user accounts associated with the VPASS, RAVE, and Dial-in systems and their identity management data to the NYS NYGOV ID directory services.

The contractor will be responsible for the migration and services required for VPASS, RAVE, and the Dial-in identity management data. VPASS is the current DMV enterprise identity management application. RAVE is the current DMV enterprise delegated administration application, but it is functionally limited. Dial-in is a record search system, which has its own custom identity management user store. Additionally, the documented analysis, design and implementation of Business Enrollment and Delegated Administration functions, based on DMV requirements, are in scope of this engagement. VPASS has 25,000-30,000 active business accounts that are entitled to use 21 externally faced applications used by external business entities. For external applications supported by VPASS, currently 5,219 users utilize RAVE. The existing VPASS/RAVE systems use groups and function IDs to manage coarse and fine-grained access to applications. It is anticipated that this structure would have to be preserved for DMV. Dial-in accounts are managed within a mainframe dataset, and there are currently 6,000 active Dial-in accounts.

The system integration tools that must be used in this engagement include Akana for services, and Sterling for managed file transfer. Existing systems use BizTalk for orchestration and as a service bus.
3.2 PROPOSED DATA QUALITY PLAN

The strategy for Data Quality for this engagement will be to stage, transform, clean/remediate, and publish data needed for the core DMV COTS system. The initial staging will capture the in-scope data for examination prior to transformation to additional stages for profiling, remediation, publication and implementation.

The preliminary DMV data analysis has established that over 2 billion production records stored in 125 data catalogs that include 28,000 RDBMS and 10,000 VSAM data element definitions. An initial data reference architecture has been defined (see Figure 4 – Data Migration Reference Architecture). The data mapping master will establish data lineage and target state for the staging, quality analysis, transformation, cleansing, and migration of the data requirements for the new solution. Based on the recommendations from the contractor analysis, ITS will make the decision for the final disposition of existing data, whether managed in parallel, archived, or deprecated.

The Contractor is responsible for the creation and development of all data pipeline solutions. In preparation for the DMV COTS vendor, a staging database will be hosted by ITS and the contractor will be responsible for modeling and populating it with all in scope data. It is anticipated that there will be a minimal of staging areas: initial staging data, cleansing data, and publishing data. The data will go through a lifecycle, which includes initial population in Cycle 1, cleansing in Cycle 2, and publication in Cycle 3. DMV’s core systems (Client, License, Financials, Ticket, Registration, and Title) utilize flat file
IBM VSAM along with DB2, Oracle, SQL server, as their system for storage, retrieval and control. For non-relational data stores, custom programs must be developed to migrate the data from core applications into staging environment. ITS resources will be responsible for the raw data extraction for non-relational data stores (VSAM files). Contractor will be responsible for the extract, transform and load of all data to the initial, quality, and publish staging databases for all the data stores that are in scope for the DMV modernization.

The data quality and ETL tools that are preferred for use in this engagement include IBM Data Studio, IBM DataStage, IBM QualityStage, IBM Data Replicator, Microsoft SSIS, R Studio, and Python/Pandas. Any tools proposed by the bidder outside of this list should be included in the cost proposal and the bill of materials.

Figure 4: Data Migration Reference Architecture

3.3 PROPOSED SOFTWARE QUALITY ASSURANCE AND DATA QUALITY MANAGEMENT PLAN

The Software Quality Assurance and Data Quality Management Plan (QA) will focus on the management of test planning for the System Integration and Data Quality Cycle-3 deliverables. In addition to the Software Quality Assurance, Data Quality Management Plan and standard QA deliverables, an overarching Master Test Matrix will be developed and managed by the Contractor. The Master Test Case Matrix will track the test cycles and completion criteria for each type of test performed for all systems being integrated and all data in scope for migration. The Master Test Matrix should provide detailed tracking of test plans, test cases, and test scenarios for all types of testing. The contractor is responsible for conducting, facilitating, documenting, and executing all testing activities associated with this engagement for all test types.

The overall QA approach will place emphasis on a shift-left test type strategy, with emphasis on unit, component, and API/Service layer tests. The planning must provide a continuous testing capability to limit manual testing and leverage test automation, including the automation of API test scripts. Model-based testing of executable requirements, architecture, and design models must be included as a strategy for the QA solution. Final testing will involve the integration of services and data, with validation of all functionality impacted by the changes.
The software quality tools that are preferred for use in this engagement include Selenium/Katalon, SoapUI, SmartBear and MicroFocus/HP Quality Center. Any tools proposed by the bidder outside of this list should be included in the cost proposal and the bill of materials.

### 3.4 PERSONNEL ROLES AND REQUIREMENTS

The qualifications for Key Personnel are specified in **Attachment 18 – Key Personnel Forms.**

All positions listed as "key personnel" are expected to be staffed for the entire engagement, unless otherwise approved in writing by NYS ITS.

Proposed team must have knowledge and experience in the following technologies Biztalk, .NET, COBOL, VSAM, DB2, Akana, SQL Server, Oracle, Assembler, SOAP & REST services, InfoSphere, Data Stage, and SSIS. Contractor’s key personnel must work on site (5 days per week) at 6 Empire State Plaza, Albany, NY 12228 and/or other state buildings in or near the Capital District, unless otherwise approved by NYS ITS. Bidder staffing proposal must include but not be limited to:

- All personnel roles listed below
- Names and resumes for all proposed key personnel
- Proposed RACI diagrams that clearly defines the key personnel roles for all activities in scope of the engagement.

<table>
<thead>
<tr>
<th>JOB FUNCTION / DESCRIPTION</th>
<th>REQUIREMENTS</th>
<th>KEY PERSONNEL</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
<td>Must have 60 or more months of experience in this role and have managed engagements similar in scope, size, and complexity in the last 5 years.</td>
<td>☒</td>
</tr>
<tr>
<td>Program Manager - serves as the primary point of contact for the NYS program/project management personnel.</td>
<td>Must have 84 or more months of experience in this role and have managed engagements similar in scope, size, and complexity in the last 5 years.</td>
<td>☒</td>
</tr>
<tr>
<td>Solution Architect - responsible for all solution architecture and technical design artifacts, translating the functional requirements into the technical architecture of the solution.</td>
<td>Must have 84 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
<td>☒</td>
</tr>
<tr>
<td>Data Architect - responsible for all data design artifacts, data architecture, data migration, orchestrations, and data governance model.</td>
<td>Must have 60 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
<td>☒</td>
</tr>
<tr>
<td>Data Migration Lead - leads the analysis to determine source data disposition, manages ETL development and documentation, works with the</td>
<td>Must have 60 or more months of experience, in this role, with a combination of the experience described in the job</td>
<td>☒</td>
</tr>
<tr>
<td>Position</td>
<td>Responsibility</td>
<td>Experience Required</td>
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</tr>
<tr>
<td>System Integration (SI) Lead</td>
<td>System Integration (SI) lead as required to facilitate SI, manages the Data Analyst, and ETL Developer.</td>
<td>function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
<tr>
<td>System Integration Lead</td>
<td>System Integration Lead - serves as the primary point of contact responsible for ensuring that the system integration requirements are documented and met. Design and develop BizTalk, SOAP, REST, and .Net services.</td>
<td>Must have 84 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
<tr>
<td>Data Analyst</td>
<td>Data Analyst - data profiling and data quality specialist, responsible for qualitative and statistical analysis of the source, cleansed, and published data. Advises the data architect, data migration lead, and program manager of opportunities/problem areas found through data analysis. Creates data visualizations and reports using Tableau, SSRS, or equivalent alternatives.</td>
<td></td>
</tr>
<tr>
<td>Mainframe Developer</td>
<td>Mainframe Developer - software engineer who develops, maintains, and implements software solutions that provide integration services, application remediation, data integration, and functions necessary. Develops solutions utilizing COBOL, DB2, CICS, VSAM, TSO and JCL.</td>
<td>Must have 48 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
<tr>
<td>Distributed System Developer</td>
<td>Distributed System Developer - software engineer who develops, maintains, and implements software solutions that provide integration services, application remediation, data integration, and functions necessary. Develops solutions utilizing .Net and SQL Server/Oracle.</td>
<td>Must have 48 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
<tr>
<td>System Analyst</td>
<td>System Analyst - technical analyst of business systems to determine best fit and optimization of system integrations. Identifies systemic organizational changes that can be affected through software, hardware, or technical system development. Develops documentation and solution designs represented in UML.</td>
<td>Must have 48 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
<tr>
<td>Program Test Coordinator</td>
<td>Program Test Coordinator - coordinates the test environment and manages the test matrix. Represents the testing team on the program level. Manage and plan all types/phases of testing for all projects. Works with Project Test Coordinators to determine overall test strategy and operational efficiencies.</td>
<td>Must have 84 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
<tr>
<td>Project Test Coordinator/Analyst</td>
<td>Project Test Coordinator/Analyst - oversees the Test Automation Specialist and Test</td>
<td>Must have 60 or more months of experience, in this role, with a combination of the</td>
</tr>
<tr>
<td>Position</td>
<td>Responsibilities</td>
<td>Experience Requirements</td>
</tr>
<tr>
<td>--------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Engineers/Specialists</td>
<td>To determine QA operational performance. All responsibilities of test planning for all types of project testing that includes test planning, test scenarios, test cases, non-functional testing, and UAT.</td>
<td>Experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
<tr>
<td>Test Automation Specialist</td>
<td>Determines what test scripts are in scope based on the test plans and develops automation for test types including but not limited to the following: Test cases, API tests, Performance tests, Test record creation. Utilize HP Quality Center, SmartBear, SoapUI, Katalon or equivalent, and Selenium for test plan support.</td>
<td>Must have 48 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
<tr>
<td>Test Engineer/Specialist</td>
<td>Designs, develops, and executes test suites for the environments/peripherals, regression scripts, non-functional load/test/performance/benchmark testing, datesim, aging, compatibility, structure/compliance testing. Utilize HP Quality Center, SmartBear, SoapUI, Katalon or equivalent, and Selenium for test plan support. Develops unit test, API test components, and custom programs in .Net to support testing.</td>
<td>Must have 36 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
<tr>
<td>ETL Developer Mainframe</td>
<td>Data pipeline development, COBOL programming, IBM Data Stage/Replicator, data modeling, schema validation, and reconciliation checks.</td>
<td>Must have 60 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
<tr>
<td>ETL Developer Distributed Systems</td>
<td>Data pipeline development, SSIS, IBM Data Stage/Replicator, data modeling, schema validation, and reconciliation checks.</td>
<td>Must have 60 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
<tr>
<td>QA Tester</td>
<td>Develops test cases, performs tests, records and reports on results.</td>
<td>Must have 24 or more months of experience, in this role, with a combination of the experience described in the job function/description. Must have project experience in an effort similar in scope, size, and complexity in the last 5 years.</td>
</tr>
</tbody>
</table>
3.5 PROJECT MANAGEMENT REQUIREMENTS

The bidder must supply a detailed project schedule and a detailed description of their proposed project management approach with sample deliverables. The approach must include but is not limited to:

- Status reports
- Project schedule management
- Project task list management
- Quality Assurance reporting for functional and non-functional defects
- All Planning documentation described in the planning deliverable

Contractor must schedule, facilitate, and document meetings with necessary subject matter experts.

3.6 KNOWLEDGE TRANSFER AND TRAINING REQUIREMENTS

The bidder must fully describe and demonstrate how they will address knowledge transfer and training for state staff assigned to this engagement on all tools and techniques.

3.7 PROJECT DELIVERABLES

Deliverable Acceptance Process

Contractor will use Appendix G – Deliverable Acceptance Form to request written approval and acceptance by ITS of Contract Deliverables. Deliverables must meet contract requirements. There shall be no verbal acceptance or acceptance by default of a deliverable. **No deliverable will be accepted without a corresponding knowledge transfer activity.** Contractor must have templates for all deliverables approved prior to creation of documentation for each cycle.

Deliverables Descriptions:

3.7.1 **FIRST SIX MONTH DELIVERABLES:**

3.7.1.1 *Planning Documentation* – While these planning documents will be required within the first six months, they must be maintained throughout the engagement and will be reviewed for sufficiency before each deliverable is accepted.

- Project Scope Document that includes, but is not limited to:
  - Project Purpose and Justification
  - Project Description
  - High-Level Requirements
  - Affected Business Processes or Systems
  - Specific Exclusions from Scope
  - Strategy
  - Deliverables
  - High-Level Timeline/Schedule
  - Constraints
  - Assumptions

- Knowledge Transfer and Training Plan– The vendor must deliver and maintain a detailed knowledge transfer and training plan that clearly demonstrates how they are going to perform knowledge transfer and training on any tools or techniques utilized during this engagement.
- Detailed Project Schedule - The Vendor must deliver and maintain a detailed project schedule that clearly lists the deliverables for this engagement and the timeframe that will be delivered. The project schedule must indicate workshops to be held to gather information. The detailed project schedule must include all milestones, activities, and deliverables with start and end dates.
- Communication Plan - The vendor must include means and frequency of communication with all participants and stakeholders. This must include, at a minimum, a weekly status report to the DMV Modernization Program Team.
- Conceptual Solution Architecture – high-level system architecture which includes the major components of the system and depicts their relationships, connections, and interfaces.
- Bill of Materials for Solution Architecture – itemized list of system components, software, and hardware required to implement the platforms and tools for the system integration and data migration.

### 3.7.1.2 External ID Management Implementation

This effort includes the completion of all cycle 1, cycle 2 and cycle 3 deliverables with implementation of all external VPASS, RAVE, and Dial-in users. The contractor will be responsible for the creation of the new solution including business enrollment and delegated administration. Scope will consist of the analysis, migration of users with their entitlements, implementation of business enrollment, and delegated administration functionality with development/implementation of related services.

### 3.7.2 Cycle 1: Early Analysis and Deliverables

During this cycle, the contractor is responsible for the initial staging of all in scope data for the DMV COTS solution and the analysis of existing draft as-is documentation listed below for the correct content and format necessary for this type of engagement. The Contractor is responsible to ensure all updates, changes, and creation of additional documentation for gaps discovered during the analysis are reflected in the documentation listed below. The Contractor is responsible for the analysis and creation of additional documentation necessary for this engagement. The Contractor is responsible for scheduling and facilitating all meetings necessary for the analysis and/or development of these documents. Once these documents are updated and/or created by the Contractor, they will be reviewed for final acceptance.

#### 3.7.2.1 Data Deliverables for Cycle 1

Requires identifying the source systems and building the processes necessary to do the initial population of the staging area. The following tasks must be completed for this cycle for all DMV data sources that are indicated as COTS or warehouse in the Core Systems Analysis Workbook.
- Initial data pipeline development
- Data model development
- Database population
- Install and configure data quality tools
- Data profiling for quality analysis
- Validation of staged data
3.7.2.2 Analyze and Update Existing Documentation

The following is a list of the draft as-is documentation created by ITS prior to this engagement.

**DMV Core Systems Analysis Workbook.** The DMV Core Systems Analysis Workbook is a high-level draft inventory of Application Systems, Transactions, Interfaces, Exchanges, and Data Catalog. This document must be continuously refined and managed.

**Extended System Context Diagram (ECD)** – NYS grouped the systems by business category and has established an ECD for each business category. The ECD document minimally includes:

- context graphic with a key that identifies internal users, external users, internal systems, external systems, and manual/electronic exchanges
- description of each exchange as PROVIDE or RECEIVE of information
- table of reports with descriptions that are provided by the system
- table of correspondence with descriptions that are provided by the system
- table of fees that are managed by the system

**Entity Relationship Diagrams (ERD)** – diagrams that detail the physical database models and metadata for all databases and files. The Contractor is responsible for the entry of the non-SQL data sources into Erwin. This is estimated to be approximately 65-75 VSAM files.

**Data Dictionaries** – detailed descriptions of the data entities, names, values, and use for all databases and files. Contractor is responsible for facilitating the collection and completion of all incomplete metadata. This is estimated to be approximately 25% of all data sources.

**System Diagram** – high-level system diagram outlining the technical components. The contractor is responsible for creating a system diagram for every system listed in the Core Systems Analysis Workbook.

**Data Mapping Master** that documents and maps the data elements details for each of the data catalog entries, and includes proposed data lineage and initial target states.

**Service Catalog** that documents data and transaction services for each of the application systems, interfaces, and exchanges, and includes proposed service lineage/dependencies with initial target states.

**Report Inventory Master** that inventories the DMV reports generated with documentation that includes the trigger, platform, dependencies, uses, and frequency target states.

**Correspondence Inventory Master** that inventories the DMV correspondence generated with documentation that includes the trigger, platform, dependencies, uses, and frequency target states.

**Fee Inventory Master** that inventories the DMV fees collected and generated with documentation that includes the system, transactions, rules, fee codes, and fund codes.

**System Integration Assessment** that documents the initial analysis, findings, identified risks, recommendations, integration tools, estimates, and proposed roadmap.
Data Quality Assessment that documents the initial analysis, findings, identified risks, recommendations, Extract Transform Load (ETL) and data quality tools, estimates, and proposed roadmap.

Data Quality Catalog Summary that provides documentation on initial data anomalies that have been identified in the early analysis, along with decisions on priorities and resolution of issues.

System Quality Summary that provides documentation on initial system anomalies that have been identified in the early analysis.

3.7.2.3 Analysis and Creation of Documentation

Master Test Matrix – master tracking tool for planning, managing, and tracking all types of testing across logical work units/packets with associated test cycles. The following types of testing must be supported and recorded in the master test matrix:

- Unit/Component Testing
- System Integration Testing (SIT) - API/Service Layer Testing, Black Box Testing, Integration Testing, System Testing/Alpha Testing
- Data Quality Validation - Back-end/Database Testing, Report/Receipt Validation, BI/Analytics Testing, Data Exchange Testing
- Performance Testing – Capacity Analysis, Performance Testing, Stress Testing

Service Migration Plan – service migration approach and schedule supporting the details on all services with ongoing tracking for the target state and lifecycle of all services in-scope.

Data Migration Plan – service migration approach and schedule supporting the details on all services with ongoing tracking for the target state and lifecycle of all services in-scope.

Quality Assurance Plan - software and data quality approach and schedule detailing how the contractor will conduct, facilitate and execute all testing for all test types with ongoing tracking for the lifecycle of system integration and data quality activities.

3.7.2.4 Installation and Configuration of Software Quality, Data and System Integration Tools

The vendor is responsible for the installation, configuration and support of the platform for the tools used in this engagement. The platform must be hosted by ITS unless agreed upon by ITS.

3.7.3 Cycle 2: Detailed Analysis and To-Be Design Planning

During this cycle, the contractor is responsible for developing and maintaining the to-be documentation listed below as well as the data documentation and data management solutions (e.g. data pipeline). Additionally, the contractor is responsible for updating all Cycle 1 documentation as necessary. The documentation must contain the correct content and format necessary for this type of engagement. The Contractor is responsible for scheduling and facilitating all meetings necessary for the development of these documents. Once these documents are created/updated by the Contractor, they will be reviewed for final acceptance.
3.7.3.1 **Data Deliverables for Cycle 2**

Cycle 2 entails analyzing data quality issues that have been documented in the DMV data quality catalog.

- Documented analysis of the initial staging data
- Document target disposition for every data element in the data mapping document
- Facilitate the prioritization and scoping of data quality issues identified in the DMV Data quality catalog
- Population of the cleansing database
- Validation of staged and cleansed data
- Continued data pipeline development, data model development, database population, and analysis of the staging and cleansing data
- Data profiling for quality analysis
- Deduplication, record linking, and creation of reference data for organizations

3.7.3.2 **Creation of To-Be Documentation**

**Service Migration Plan** for all services listed in the additional documentation provided (Exhibit 3) - service migration schedule that outlines all dependencies and their scheduled mitigation, as well as the operations involved. The schedule must track and maintain the full lifecycle including target state of all services in-scope.

**Data Migration Plan** for all data listed in Exhibit 3, which will be provided as additional documentation - data migration schedule that outlines all dependencies and their scheduled mitigation. The schedule must track and maintain the full lifecycle including target state of all data in-scope.

**Quality Assurance (QA) Plan** - software and data quality assurance plan that clearly defines all tasks, roles, workflows, and responsibilities for a continual QA plan for the entire engagement. This should include details on all testing with ongoing tracking for the lifecycle of all testing of system integration and data quality activities.

**Master Inventory Deliverables** – The following documents must be updated based on the to-be findings and target states.

- Continuous management of the Core System Analysis Workbook
- Data Mapping Master
- Service Catalog
- Data Quality Catalog
- Report Inventory Master
- Correspondence Inventory Master
- System Quality Summary

**Integration System Analysis Deliverables** – The following documents must be developed with the to-be design for any systems that will integrate with the DMV COTS solution. These documents must be at the detailed level necessary for the validation of the integration of all systems.

- Business Requirements
Functional Specifications

Integration System Design Deliverables - The following documents must be developed/updated with the to-be design for any systems that will integrate with the DMV COTS solution.

- Extended System Context Diagram (Grouped by Business Category)
- Entity Relationship Diagrams
- Data Dictionaries
- System Diagrams

System Design Documentation - the following documentation must be developed for all systems, services and data as per industry standards:

- Context Diagrams – context diagrams that overview the various input and output interfaces to a system
- Architecture Diagrams – system architecture diagrams for each system
- Sequence Diagrams - diagrams detailing the general touchpoints and flow of the service based on ITS standard templates
- Request Response/Mapping Documents – documents identifying the input and output elements, description of each element, required/optional information for each element, data type and length for each service operation
- Activity Diagrams – diagrams detailing the entire flow of the services including error conditions, exception handling and process flow
- Cross-Functional Process Diagram – one or more process diagrams that illustrate the flow for core processes provided by the system that include the flow across internal and external systems and user groups
- Service Descriptions – descriptions of the services that are carried forward from the service catalog that contain the documented data exchange details (e.g., all elements, formatting, operations, protocols, and transaction types that are included in the exchanges)
- Business Requirements for Data Extraction – decision for the target disposition, record purge/retention policy, and data lineage for each data source in the data catalog
- Data Migration/Program Scripts – documented repeatable processes that include scripts and programs facilitated by ETL tools to extract data from source systems, prepare and load into target systems
- Data Replication Reports – synchronization, parallel data, and reference data verification reports

3.7.3.3 Quality Assurance Deliverables

The following deliverables must include all tasks and workflows associated with the overall quality assurance of all systems that need to be integrated and the overall data quality for all systems:

- Master Test Matrix - tracks the lifecycle of all types of testing for all system integration and data quality activities
- Requirements Traceability Matrix (RTM) – document that maps and traces the business functional requirements to the test plans and scripts
Request for Proposals

- **Test Strategy** – for each system and its services, a test strategy will be developed which includes test plans and their components.
- **Test Plans** – suite of test scripts and test cases aligned with the requirements in the RTM. Test plans must include, but not be limited to, test automation scripts and API testing.
- **Defect Management** – define process and administration for managing, tracking, and reporting defects.
- **Data Quality** - define process and administration for managing, tracking, and reporting data quality. Analyze, update, and document issues identified in the data quality catalog. Design solutions for these issues that include the timing of the implementation (e.g., right now, during migration, in the target solution, etc.).
- **Non-Functional Testing** – define process and administration for managing, tracking, and reporting performance, UI and UX.
- **User Acceptance Testing (UAT)** - define process and administration for managing, tracking, and reporting UAT progress and activities.
- **Quality Risk Report** – report of the implementation risks and the mitigation plans for those risks.

### 3.7.4 Cycle 3: Systems, Services, and Data Remediation/Migration

During this cycle, the contractor is responsible for the execution, development, testing and implementation of all deliverables and processes previously signed off in Cycle 1 and 2. Additionally, the contractor is responsible for updating all Cycle 1 and 2 documentation as necessary. The Contractor is responsible for scheduling and facilitating all meetings necessary for this cycle. Once these activities have been completed by the Contractor, they will be reviewed for final acceptance. The following deliverables for Cycle 3 include:

#### 3.7.4.1 Data Publishing and Migration

Cycle 3 entails analyzing and remediating data quality issues, preparation and publication of in scope data.

- Remediation and migration of all necessary data identified in the previous cycles in preparation for publication.
- Migration of all data to target state as defined by the target disposition identified in the DMV Data Mapping documentation.
- Publication of cleansed and normalized data to the final staging area for the data required for Client, License, Financials, Ticket, Registration, and Title.

#### 3.7.4.2 System Integration

In Cycle 3, the contractor is responsible for the execution, development, testing and implementation of all necessary integrations identified in the documentation created in Cycle 1 and Cycle 2 for Client, License, Financials, Ticket, Registration, and Title.

#### 3.7.4.3 Software/Data Quality Assurance

Cycle 3 entails test automation, planning, reporting, execution of all test types, and end-to-end facilitation of all test processes.

- Test automation in support of all services.
- Performance testing of services.
• API Test deliverables including the use of API testing tools, development of stubs, and creation of synthetic test data

3.8 TABLE OF DELIVERABLES
The following table identifies all deliverables to be provided to the State by the Contractor in an order as determined in the approved project plan:

<table>
<thead>
<tr>
<th>NUMBER</th>
<th>DELIVERABLE</th>
<th>TYPE</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.7.1</td>
<td>First Six Month Deliverables</td>
<td></td>
</tr>
<tr>
<td>3.7.1.1</td>
<td>Planning Documentation</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.1.2</td>
<td>External ID Management Implementation</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.2</td>
<td>CYCLE 1: Early Analysis and Deliverables</td>
<td></td>
</tr>
<tr>
<td>3.7.2.1</td>
<td>Data Deliverables</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.2.2</td>
<td>Analysis and Update of Existing Documentation</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.2.3</td>
<td>Analysis and Creation of Documentation</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.2.4</td>
<td>Installation and Configuration of Software Quality, Data and System Integration Tools</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.3</td>
<td>CYCLE 2: Detailed Analysis and To-Be Design Planning</td>
<td></td>
</tr>
<tr>
<td>3.7.3.1</td>
<td>Data Deliverables</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.3.2</td>
<td>Client Systems Creation of To-Be Documentation</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.3.2</td>
<td>License Systems Creation of To-Be Documentation</td>
<td>Document &amp; Activity</td>
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<tr>
<td>3.7.3.2</td>
<td>Financial Systems Creation of To-Be Documentation</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.3.2</td>
<td>Ticket Systems Creation of To-Be Documentation</td>
<td>Document &amp; Activity</td>
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<tr>
<td>3.7.3.2</td>
<td>Registration Systems Creation of To-Be Documentation</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.3.2</td>
<td>Title Systems Creation of To-Be Documentation</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.3.2</td>
<td>Interim Systems Creation of To-Be Documentation</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.3.3</td>
<td>Quality Assurance</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.4</td>
<td>CYCLE 3: Systems Integration and Data Publication / Migration</td>
<td></td>
</tr>
<tr>
<td>3.7.4.1</td>
<td>Client Data Publishing and Migration</td>
<td>Document &amp; Activity</td>
</tr>
<tr>
<td>3.7.4.1</td>
<td>License Data Publishing and Migration</td>
<td>Document &amp; Activity</td>
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<tr>
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<td>3.7.4.2</td>
<td>Client System Integration</td>
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<td>3.7.4.3</td>
<td>Software/Data Quality Assurance</td>
<td>Document &amp; Activity</td>
</tr>
</tbody>
</table>
3.9 BIDDER EXPERIENCE AND QUALIFICATIONS REQUIREMENTS

The experience and qualifications requirements are specified in Attachment 17 – Bidder Experience and Qualifications.

SECTION 4 - ADMINISTRATIVE REQUIREMENTS AND INFORMATION

4.1 EXTRANEOUS DOCUMENTATION AND TERMS

Bids must conform to the terms set forth in this Solicitation. Bidders must ensure that their Bid submissions contain no extraneous documentation, sales literature, or other documentation. Extraneous terms or material deviations (including additional, inconsistent, conflicting or alternative terms) may render the Bid non-responsive and may result in rejection of the Bid. Extraneous terms submitted on standard, pre-printed forms (including but not limited to: product literature, order forms, license agreements, contracts, or other documents) that are attached or referenced with submissions shall not be considered part of the Bid or resulting Contract, but shall be deemed included for informational or promotional purposes only.

Each proposed extraneous term must be specifically enumerated in writing and specify the particular RFP section that Bidder proposes to modify and the reasons why the change would be in the best interest of the State. Any extraneous terms must be submitted during the Question and Answer time period as identified in the RFP Calendar of Events, using the Vendor Questions and Extraneous Terms Form attached to this RFP. Extraneous terms submitted after this Question and Answer time period including as part of the Bidder's Bid will not be considered.

No extraneous term shall be incorporated into the Contract (see Appendix C “ITS Contract”) unless expressly accepted by ITS in writing. Acceptance and/or processing of a Bid shall not constitute acceptance of extraneous terms.

EXTRANEOUS TERMS MUST MEET ALL THE FOLLOWING REQUIREMENTS TO BE CONSIDERED:

a) The extraneous term must have been submitted during the Question and Answer time period as identified in the RFP Calendar of Events.

b) The extraneous term must be accepted by ITS in writing.

c) ITS will not entertain any exceptions to Appendix A - Standard Clauses for New York State Contracts.

During the course of the Contract resulting from this RFP, any subsequently created documents designed to effectuate terms of the Contract such as transaction documents, statements of work, letter agreements, project change requests, or other such documents must either include or are deemed to include the phrase that the base Contract itself has precedence over any other terms. The Contract Terms and Conditions attachment to this RFP includes additional requirements as to any extraneous terms proposed by Contractor during the term of the Contract resulting from the RFP.

4.2 INQUIRIES FROM BIDDERS

i. Bidders should submit all RFP inquiries, questions, comments, or extraneous terms using Attachment 5 – Vendor Questions and Extraneous Terms and Conditions during the Bidder Inquiry period. Solicitation deviations and Extraneous Terms shall be sent to its.sm.bestvalue@its.ny.gov by the deadline stated in the RFP Calendar of Events. All extraneous terms and conditions must be resolved prior to the submission of a bid and answers to all questions, comments, bid deviations and Extraneous Terms of a substantive
nature will be provided to all prospective Vendors in the form of a question and answer document, which will be posted on the ITS website.

ii. New York State Finance Law §§139-j and 139-k imposes certain restrictions on communication between NYS and Bidders during a procurement. Bidders are restricted from making contact, from the earliest notice of intent to solicit offers/Bids through final award and approval of the procurement Contract by ITS and, if applicable, the Office of the State Comptroller (“restricted period”), to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law §139-j(3)(a).

Certain findings of non-responsibility can result in rejection for Contract award and in the event of two findings within a four-year period, the Bidder shall be debarred from obtaining governmental Procurement Contracts.

Further information about these requirements can be found on the OGS website: http://www.ogs.ny.gov/aboutOgs/regulations/defaultSFL_139j-k.asp. Forms are attached to this RFP in a "Lobbying Forms All-in-One" form, and/or may be obtained from ITS. Bidder is advised that ITS will not entertain any exceptions to Appendix A (Standard Clauses for New York State Contracts). **No other method of inquires will be accepted.**

Administrative issues pertaining to sending/receiving email through the designated mailbox may be reported at (518) 473-9341.

### 4.3 COMMUNICATIONS FROM NYS TO VENDORS

ITS has established a procurement website for the purpose of disseminating information relating to this procurement, and vendors are encouraged to monitor the site. The website URL is provided on the cover page of this RFP.

### 4.4 ENHANCEMENT BUDGET

The Contractor’s cost proposal will include an Enhancement budget. Enhancements are any additional services or deliverables specifically related to the scope of this RFP that are not otherwise specified or proposed, and only become evident during the contract term. Enhancements will be authorized using Appendix H – Enhancement Request Form. Contractor and ITS must both sign the Enhancement Request Form in order for the Enhancement Request to be approved. The total additional cost of all Enhancements cannot exceed 10% of the original Project cost.

### 4.5 BID LIABILITY AND LATE SUBMISSIONS

The State of New York will not be held liable for any cost incurred by the Bidder for work performed in the preparation and production of a Bid or for any work performed prior to the formal execution of a Contract. Bids must be received by ITS on or before the date and time indicated in Calendar of Events. Bidder assumes all risks for timely, properly submitted deliveries. Bidders are strongly encouraged to arrange for delivery of Bids to ITS prior to the date of the Bid opening. LATE BIDS SHALL BE REJECTED. The received time of Bids will be determined by the time at the location receiving the Bids utilizing a time/date stamp. NO CONSIDERATION WILL BE GIVEN TO BIDS RECEIVED AFTER THE STATED DATE AND TIME.

### 4.6 METHOD OF AWARD

ITS will make an award for the services described in this RFP to a responsive and responsible Bidder on a “Best Value” basis. Best Value 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).
4.7 VENDOR RESPONSIBILITY QUESTIONNAIRE

The State conducts a review of prospective Contractors (Bidders) and Subcontractors with anticipated expenditures at $100K or more to provide reasonable assurances that the Bidder is responsive and responsible. A For-Profit Business Entity Questionnaire (hereinafter “Questionnaire”) is used for non-construction contracts and is designed to provide information to assess a Bidder’s responsibility to conduct business in New York based upon financial and organizational capacity, legal authority, business integrity, and past performance history. By submitting a Bid, Bidder agrees to fully and accurately complete the Questionnaire. The Bidder acknowledges that the State’s execution of the Contract will be contingent upon the State’s determination that the Bidder is responsible and that the State will be relying upon the Bidder’s responses to the Questionnaire, in addition to all other information the State may obtain from other sources, when making its responsibility determination.

The State recommends each Bidder file the required Questionnaire online via the New York State VendRep System. To enroll in and use the VendRep System, Bidder should refer to the VendRep System Instructions and User Support for Vendors available at the Office of the State Comptroller’s (OSC) website, http://www.osc.state.ny.us/vendrep/index.htm or to enroll, go directly to the VendRep System online at https://portal.osc.state.ny.us. Bidders opting to complete the paper questionnaire can access this form and associated definitions via the OSC website at: http://www.osc.state.ny.us/vendrep/forms_vendor.htm.

Contractor must update its Vendor Responsibility Questionnaire within ten (10) business days of the State’s request that it does so.

4.8 CONTRACTOR REQUIREMENTS AND PROCEDURES FOR PARTICIPATION BY NEW YORK STATE-CERTIFIED MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES AND EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN

NEW YORK STATE LAW

Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations, ITS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority and Women-owned Business Enterprises (“MWBEs”) and the employment of minority group members and women in the performance of ITS contracts.

Business Participation Opportunities for MWBEs

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 Enterprise (“MBE”) participation and 15% for New York State-certified Women-owned Business Enterprise (“WBE”) participation (based on the current availability of MBEs and WBEs). A contractor (“Contractor”) on any contract resulting from this procurement (“Contract”) must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors and suppliers in the performance of the Contract. To that end, by submitting a response to this RFP, the respondent agrees that ITS may withhold payment pursuant to any Contract awarded as a result of this RFP pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: https://ny.newnycontracts.com. For guidance on how ITS will evaluate a Contractor’s “good faith efforts,” refer to 5 NYCRR § 142.8. ITS also refers the Vendor to Appendix C, ITS Contract for further information.

4.9 BID VALIDITY

Bids must remain open and valid for at least 270 days from the bid opening date, unless the time for awarding the Contract is extended by mutual consent of ITS and the Bidder. A Bid shall continue to remain
an effective offer, firm and irrevocable, subsequent to such 270-day period until ITS makes a tentative award of the Contract or the Bidder withdraws the Bid in writing.

4.10 ACCURACY OF BIDS

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, as requests for bid withdrawals of any type are not likely to be granted. If a Bidder submits its bid ahead of the submission deadline, it may submit an amended Bid any time prior to the Bid Submission Due Date indicated in RFP Calendar of Events.

4.11 STATE’S RESERVED RIGHTS

ITS reserves the right to:

a) Withdraw the RFP at any time, at the Agency's sole discretion;
b) Modify the requirements of the RFP, eliminate requirements, whether material, mandatory or not, if deemed to be in the State's best interests, amend the RFP requirements to correct errors or oversights, supply additional requirements as become available, and direct Bidders to submit bid modifications addressing such RFP amendments;
c) Reject any and all bids received in response to the RFP;
d) Change any of the scheduled dates;
e) Make an award under the RFP in whole or in part;
f) Disqualify any Bidder whose conduct and/or bid fails to conform to the requirements of the RFP;
g) Seek clarifications and revisions of bids including correction of mathematical or other errors for the purpose of assuring a full and complete understanding of a Bidder’s bid and/or to determine a Bidder's compliance with the requirements of the solicitation;
h) Utilize any and all ideas submitted in the bids received, as permitted by law;
i) Use all bid information obtained through site visits, management interviews and any clarifying material or information submitted by the Bidder to evaluate bids;
j) Negotiate additional terms and conditions in any resulting Contract that are to the State’s advantage, within the scope of the RFP;
k) Conduct contract negotiations with the next responsible Bidder should the Agency be unsuccessful in negotiating with the first tentative awardee;
l) Waive minor irregularities and/or omissions in Bids if in the best interest of the State;
m) In its sole discretion, accept or reject illegible, incomplete, or vague bids; and
n) Establish evaluation criteria, evaluate bids and award contracts on the basis of these criteria.

4.12 PROCUREMENT RECORD

ITS shall maintain a Procurement Record that documents the procurement process.

SECTION 5 - DELIVERY, FORMAT AND CONTENTS OF BIDS

5.1 FILING BY BIDDERS PROOF OF MANDATORY MINIMUM QUALIFICATIONS

Bidders must submit proof of mandatory minimum qualifications (Attachment 6) with NDA for Additional Documentation (Attachment 7) –NDA by the due date indicated on the Calendar of Events to be furnished with additional detailed information regarding the complexity of the system integrations and data migrations included in this effort (Exhibit 3). This additional information will assist the bidder in providing a more accurate understanding of the scope of work that will be required during this engagement.
5.2 BUILDING ACCESS PROCEDURES FOR VISITORS AND HAND DELIVERIES

To access the ITS office building, all visitors must present photo identification at the Security Desk and comply with other requirements. Bidders who intend to hand-deliver Proposals or utilize independent courier services should allow extra time to comply with these procedures. Bidders hand-delivering their Proposals should ask the security personnel at the security desk to call the Designated Contact(s) indicated in this RFP or the Procurement and Contracts Support Unit. Building Access procedures may change or be modified at any time. Bidders assume all risks for timely, properly submitted hand deliveries.

Please contact the Designated Contact at least 24 hours prior to the bid closing date for more information about the Swan Street Building’s security requirements and to expedite the security process.

5.3 PACKAGE LABEL

All Proposals must have a label on the outside of the package or shipping container with the following information:

RFP C000575 DMV Modernization Data Quality and System Integration - PROPOSAL ENCLOSED
NOT TO BE OPENED EXCEPT BY AUTHORIZED PERSONNEL

5.4 MULTIPLE SUBMISSIONS

Bidders may submit more than one proposal for the purpose of offering alternative solutions but each proposal must meet all of the mandatory requirements of the RFP, be complete in itself, and must not reference or incorporate portions of another proposal submitted by Bidder. Multiple proposals received from the same Bidder will be separately evaluated by ITS as if each proposal were the sole submission of the Bidder.

5.5 GENERAL REQUIREMENTS FOR PROPOSALS

Bidders must submit a complete response to this RFP that satisfies the requirements set forth below. Failure to do so may render the Bidder’s proposal non-responsive. A proposal checklist is included in this RFP as Attachment 1.

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

All proposals submitted in response to this RFP, must be written in the English language with quantities expressed using Arabic numerals and United States Dollars ($ USD), as applicable.

5.6 PRESENTATION REQUIREMENTS

Bidders susceptible to award after a review of the Technical, Financial, and Administrative Proposals and Evaluations shall be invited to a presentation. A presentation agenda will be shared, along with the invitation to present, to those vendors susceptible to award.

SECTION 6 - EVALUATION METHODOLOGY

The evaluation process will be conducted in a comprehensive and impartial manner.

6.1 PROPOSAL COMPLETENESS REVIEW

After the Proposal opening, each proposal will be screened for completeness and conformance with the RFP requirements. Proposals that do not meet the RFP requirements may be deemed non-responsive,
removed from further consideration, and the Bidder notified accordingly. Proposals that pass will proceed to the Technical Evaluation.

6.2 MINIMUM QUALIFICATIONS EVALUATION

Proposals submitted by Bidders will be evaluated on a Pass/Fail basis to determine whether they satisfy the RFP’s minimum qualifications. Proposals that fail to meet the minimum qualifications will be deemed non-responsive, will not be further evaluated, and the Bidder will be notified accordingly. Passing proposals next proceed to the Technical and Financial Evaluations. Bidders may still be disqualified if it is later determined that the Bidder did not meet all of the RFP minimum qualifications and should not have qualified to move on to the Technical and Financial Evaluations stage.

6.3 TECHNICAL PROPOSAL EVALUATION

The Technical Proposal will be weighted at 70% of the overall total. The Technical Evaluators will independently score each Technical Proposal using a weighted average to calculate the Technical Score for each responsive Bidder.

6.4 FINANCIAL PROPOSAL EVALUATION

The Financial Proposal will be weighted at 30% of the overall total. The Financial Proposal evaluation will be based on a maximum score of 30 points which will be allocated to the proposal with the lowest price. All other responsive proposals will receive a proportionate score based on the relation of their Financial Proposal to the proposal with the lowest price, using this formula:

\[
\text{Financial Proposal points awarded} = 30 \times \left( \frac{\text{Lowest Price Financial Proposal}}{\text{Price of Proposal Being Evaluated}} \right)
\]

6.5 ADMINISTRATIVE PROPOSAL EVALUATION

No points awarded to the Administrative Proposal.

6.6 PRESENTATION EVALUATION

The Presentation shall be weighted at 10% of the total overall score. Each Evaluator will independently score the Bidders.

6.7 FINAL COMPOSITE SCORE

A final composite score will be calculated by combining the Technical Proposal score, Financial Proposal score and Presentation Score. The Proposals will be ranked based on the combined scores. The Bidder with the highest composite score may receive a tentative award, subject to successful contract negotiations and approval by the Attorney General and Office of the State Comptroller.

Should more than one Bidder get the same total score, the tie will be broken using the Financial Proposal score. When price and other factors are found to be substantially equivalent, ITS will select the winning Bidder at its sole discretion.

6.8 NOTIFICATION OF AWARD AND OPPORTUNITY FOR DEBRIEFING

The tentative awardee will be advised of selection by ITS through the issuance of a formal written correspondence indicating a proposed award. All Bidders will be notified of the selection or rejection of their bids. Once an award has been made, Bidders may submit a written request for a debriefing as to why their bid did not result in an award. The written request must be received by the ITS Designated Contact identified on the cover page of this RFP no later than fifteen (15) calendar days from the date of the award.
announcement. The purpose of the debriefing is to provide information to each Bidder about the scoring and evaluation of the requesting Bidder’s Bid. ITS will not provide Bidders with information about another Bidder’s Bid unless the debriefing is held after the final award. This is also an opportunity for a Bidder to learn how to improve future bids.

6.9 ITS BID PROTEST POLICY

The State of New York strives to assure a fair, open and competitive process to all vendors qualified to respond to this Procurement. In the event that any vendor has a complaint or objection to the RFP requirements, the procurement process or any matter affecting the submission of a vendor’s Bid, the vendor is encouraged to informally contact the ITS Designated Contact immediately to resolve the matter.

If the vendor believes that the objection affects the outcome or nature of the proposed award for this Procurement, the vendor must follow the procedures for timely filing a formal protest set forth in Section 4 of the ITS Bid Protest Policy. Prior to Contract award, protests which may affect the outcome or nature of the award may only be considered by the State in the context of a formal written protest filed in accordance with the procedure located at https://its.ny.gov/tables/technologypolicyindex.