

New York State Liquor Authority Division of Alcoholic Beverage Control

DENNIS ROSEN, CHAIRMAN



REQUEST FOR INFORMATION NO. 2010RFI01

"The SLA/ABC Revitalization Project"

JANUARY 11, 2010

Key Event

Release of the RFI

Notice of Intent to Participate in Roundtable

Vendor Inquiries Regarding RFI Due to SLA

Response to Inquiries

Written response to Vendor Discussion agenda questions

Roundtable Session I

Vendor Inquiries Regarding Roundtable Due to SLA

Response to Inquiries and Roundtable II Agenda

Roundtable Session II

Written Responses Due to SLA

Date

January 11, 2010

January 15, 2010

January 15, 2010

January 22, 2010

January 22, 2010

February 1, 2010

February 3, 2010

February 5, 2010

February 10, 2010

February 22, 2010

Written responses are to be submitted to:

Trina Mead, Chief Executive Officer

New York State Liquor Authority

80 South Swan St. Suite 900 Albany, NY 12210-8002

Email: rfi@abc.state.ny.us

For additional information, please submit all questions in writing to rfi@abc.state.ny.us.

Table of Contents

<i>"The SLA/ABC Revitalization Project"</i>	1
General Information	3
Introduction and Background	3
Vision of System.....	3
Need.....	4
Scope.....	7
Objectives and Purpose of RFI	8
Schedule of Dates	9
Format of Response	9
Participation in Roundtable Discussion Sessions.....	10
Submission of Written Responses to RFI	10
Administrative Information	10
Issuing Office and General Information.....	10
Vendor Inquiries.....	11
Incurring Costs	11
Responses to the RFI: FOIL Disclosure	11
Appendix A – SLA/ABC Executive Organizational Chart.....	12
Appendix B– Schedule of Applications and Databases.....	13
Appendix C – Roundtable Agenda	14
Appendix D – Questions for Respondents for Final Response	16
Exhibit A: Freedom of Information Law – Request for Redactions Chart.....	19

General Information

Introduction and Background

The New York State Liquor Authority (SLA) and its agency arm the Division of Alcoholic Beverage Control (ABC) were established under New York State Law in 1934 to “regulate and control the manufacture and distribution within the state of alcoholic beverages for the purpose of fostering and promoting temperance in their consumption and respect for and obedience to law.” The SLA is also authorized by statute to “determine whether public convenience and advantage will be promoted by the issuance of licenses to traffic in alcoholic beverages ... and to carry out the increase or decrease in the number thereof and the location of premises licensed ... in the public interest.”¹

The Authority, also known as the Alcoholic Beverage Control Board, consists of three Commissioners, one of which is the Board Chair. The Chair serves as the agency head in the day-to-day operations of the ABC. However, all three SLA Commissioners are required to approve employee hires and discharges, as well as have input and approval for changes in agency policy and new initiatives.

The SLA/ABC operates from three main offices: the Albany office, which serves as the agency Headquarters, New York City and Buffalo with a satellite office in Syracuse. An Executive organizational chart is included as Appendix A.

In fiscal year 2009-10 it is anticipated that the SLA/ABC will collect and deposit more than \$52 million in revenue into a number of bank accounts established by the New York State Comptroller and will receive agency operating funds expected to total \$17.5 million from the New York State Division of the Budget.

Vision of System

The SLA/ABC envisions implementing a state of the art licensing and compliance solution to electronically accept and process license applications and renewals, as well as to receive and process complaints and legal documents associated with inappropriate actions, in or around, a licensed establishment.

The solution should provide the ability to integrate all agency functions associated with licensing and enforcement, including SLA Board actions, as well as with the shared services solution being established with other agencies. Once implemented, the solution should also provide agency management the ability to produce reports (either canned or custom). The reports will provide agency management with the ability to obtain accurate and reliable performance measurement data, such as timeliness of applications, provide a list of potential focal point or problematic establishments to assist in the enforcement efforts, and provide revenue projections.

¹ Article 1. Section 2 of the ABC Law

Need

The SLA/ABC handles a significant volume of applications for both new establishments and changes and renewals to existing establishments. The following table provides an overview of the volume of transaction processed, by type, for all offices for the 2009 calendar year. The number of licensing staff includes the total number of staff in the licensing bureau because each person has a different role in the licensing function and it would be difficult to determine the amount of effort each person is contributing to any one type of transaction.

The licensing process includes opening and sorting the mail, data entry of applications, scanning additional documentation as it is received, routing information to the appropriate examiner, answering calls, reviewing applications, preparing memos and other correspondents, as well as meeting with licensees.

Type of transaction	Number of Transactions
Licensing – 65 staff	
Permits	30,308
License and Wholesale applications	5,179
License Changes	5,473
Renewals	35,089
Total	76,049

Table 1 - Approximate Number of Licensing Transactions for 2009

The SLA/ABC has also received and processed a significant number of complaints, investigations and legal cases against licensees for improper conduct. The following table provides an overview of the volume of transactions processed, by type, for the 2009 calendar year. The number of staff listed for enforcement and counsel's office includes professional and administrative support staff.

Type of transaction	Number of Transactions
Enforcement - 37 staff	
Complaints recorded*	137
Cases opened	4,027
Total	4,164
Counsel's Office –staff	
Cases opened	4,523
Hearings Conducted	2,908

Table 2 - Approximate Number of Compliance Transactions 2009

The numbers provided in the tables above are based on queries generated from the existing system and are being provided without being validated but to provide an estimate of the number of transactions for the discussion and response to the RFI.

****The SLA did not historically record complaints received in the system so the number provided is for approximately one month of complaints.***

Outdated Technology

The SLA/ABC relies on a mission critical software application that uses antiquated technology and is comprised of disparate databases that are difficult and cumbersome to use. A schedule of applications and a brief description of each database is included in Appendix B. The model in Figure 1 illustrates the linkage between the key fields of each database.

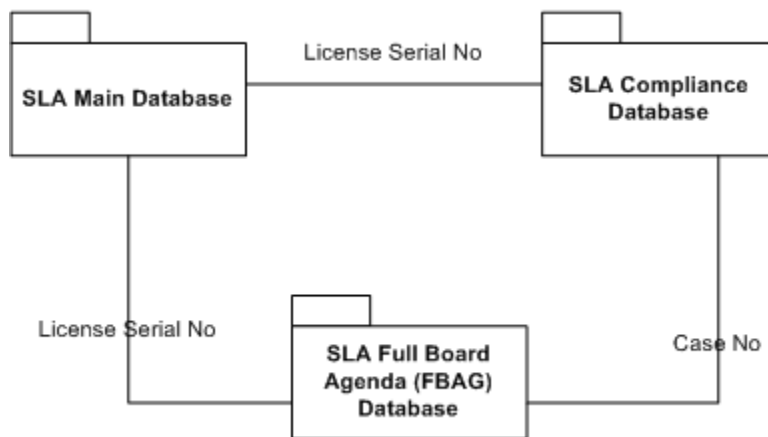


Figure 1 - Database Relationships

The current system was designed by New Visions in 1999, does not directly interface with the internet, and does not enable applicants or licensees to review the status of their application or license.

SLA/ABC users must sign onto each database in order to view information. For those supervisors or management staff who access transactions from one database, they must sign in to the same database with multiple user ids (as illustrated in Table 3), one for each location, in order to access information about a license.

Office Location	Database	User Id
Zone 1	Workflow	License01
Zone 2	Workflow	License02
Zone 3	Workflow	License03

Table 3 - Example of Multiple User Ids

Additionally, much of the information that could be useful to management is impossible to obtain or must be “run” by existing IT staff due to the antiquated programming of the system.

The current system is almost entirely paper driven. The agency indexes then sends thousands of sheets of paper offsite to be scanned and later uploaded into the SLA/ABC system. These scanned documents are non-searchable and are associated with a license

(premise) serial number only, and are not associated with an individual or corporate entity.

The SLA/ABC has electronic permit applications available on its website but many applicants prefer to submit paper applications. There are a small percentage of renewal applications available electronically. The agency created an electronic retail license application that has not been updated since changes were made to the paper application process; hence, the electronic form is unusable.

The inability to provide an electronic, self service model for agency customers results in an enormous number of phone calls to check the status of applications and long lines at the NYC office window to obtain a physical copy of a receipt.

The SLA/ABC has also identified a number of areas within the agency where internal controls are weak or nonexistent because of the limitations of the mission critical software application. Hence, human judgment is being substituted for technological controls that should be in place.

The current system is transaction centric and limits the ability of staff to see all transactions for an establishment or an individual unless a variety of fields are searched in each database. The SLA/ABC needs a system that provides agency staff with the ability to obtain a complete picture of all information related to a specific address, a principal owner or an establishment. The licensees and applicants need to be able to access information about their establishment or their application electronically. Furthermore, the agency requires a more robust solution that would allow for greater controls and provide for the redirection of staff to more refined work processes.

Procedures

The SLA/ABC has a limited number of agency procedures formally documented. This creates a risk for the agency because staff frequently incorrectly and/or inconsistently interpret and apply the ABC Law and rule, which results in delayed application processing and numerous requests for additional licensee information that may not be needed to process an application.

The SLA/ABC needs clear and concise written procedures to ensure that staff is equitably applying the appropriate criteria when reviewing a license application. The agency must be able to effectively view all information related to an establishment and an individual applying for a license to ensure that licensees are not asked to provide additional information the SLA/ABC may already have on file.

Scope

The scope of the proposed project will include performing a comprehensive review of all agency business processes, gathering requirements for the procurement of a software solution, procuring and implementing the solution, changing the agency policies and procedures, and assisting the employees of the SLA/ABC in adjusting and adapting to the changes as they happen (refer to Figure 2). The output(s) of each phase of the proposed project will be an essential input to the next phase. The SLA/ABC envisions this project will be executed completely in order to deliver the comprehensive solution necessary for the agency to make the much needed improvements and sustain its operations. This will included regular interaction and communication with the NYS E-Licensing project team.

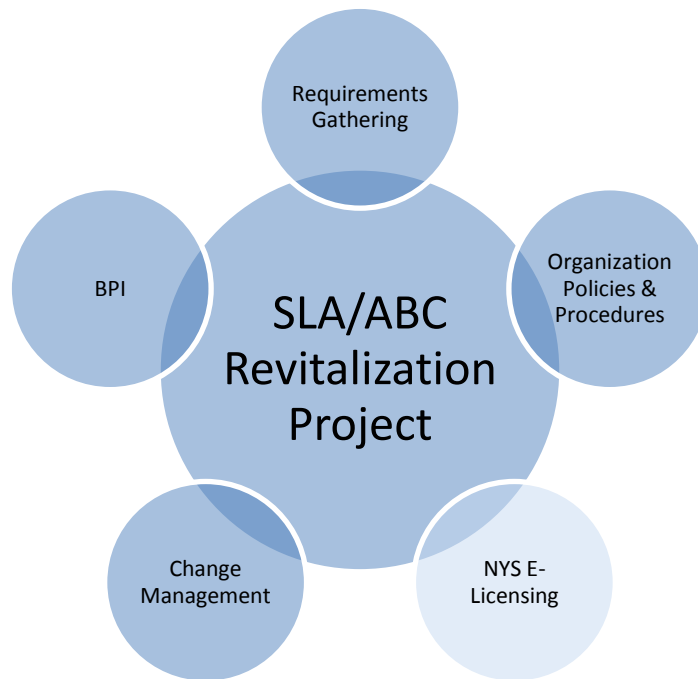


Figure 2 - Project Phases

Modernizing the receipt of alcoholic beverage control applications for licenses and permits, accepting electronic payments, processing renewals, accepting photographs and electronic price lists, posting price lists, recording complaints and police reports on licensed establishments or those that should be licensed, providing inquiry capability, and tracking electronically all legal actions associated with an establishment and licensee, including SLA Board action, will be evaluated against the available functionality of the shared services software solution.

The SLA /ABC has minimal IT resources with limited capability that need to stay focused on keeping the existing system functional. Additionally, the agency has been working with the New York State CIO/OFT that has been managing a multi-agency E-Licensing project and has been charged with carrying out the vision of the shared services approach. It is envisioned that the SLA/ABC, in partnership with OFT and the business process improvement team, would create

data standards, assess the multitude of databases, and establish a plan to conform the SLA/ABC existing data in preparation to be uploaded in the new shared system. The SLA/ABC will continue to be an active participant in the E-licensing project meetings and JAD sessions and will communicate the information gleaned from the business process improvement project to the E-Licensing project team. In addition to the ability to understand and document the various business processes, the SLA/ABC needs assistance in performing a technical evaluation of its existing infrastructure to determine the readiness of the agency to participate in the E-licensing project.

The SLA/ABC envisions that the agency revitalization project will be managed by a project manager who will be responsible for establishing and managing the project plan, ensuring that communication is timely and relevant for all stakeholders, identifying and managing risks, providing a change management plan for SLA/ABC staff, and interfacing with agency management on a daily basis to keep them apprised of the progress of the project.

Benefits

The SLA/ABC anticipates the outcome of this project will be the establishment of:

- i. The system and processes needed to deliver timely, fair and equitable license application decisions;
- ii. Efficient compliance and enforcement processes;
- iii. Management reporting tools; and
- iv. Solutions that are open, transparent and accessible to all stakeholders.

Objectives and Purpose of RFI

The overall objectives of this RFI include:

- Provide an understanding of the SLA/ABC mission and an overview of the various functions that comprise the SLA/ABC, and describe the interworking of those functions in carrying out the mission;
- Provide an understanding of the needs of the SLA/ABC stakeholders with whom the agency interacts;
- Enable the SLA/ABC to understand the perspectives of the potential bidders so as to provide the appropriate amount of information that will enable them to provide adequate and fair proposals should the agency decide to move forward with a procurement; and
- Clarify the approach to this project in order to procure the resources necessary to fulfill the overall objectives.

The purpose of this RFI is to solicit information from interested parties (“Respondents”) regarding the following general topics:

- i. Project Management: What can the SLA/ABC expect from a project team, what skills and abilities would be essential to conduct the project, and what is the right size of the project team?
- ii. Business Process Improvement: What is the SLA/ABC currently doing that is not adding value and could be eliminated or could be transitioned to technology and where is the largest amount of resources being used and how could technology assist with deploying the resources more effectively?
- iii. Requirements Gathering: What are the key requirements and issues that the SLA/ABC must define or consider when moving forward with a solution?
- iv. Return on Investment: What benefits could the SLA/ABC realistically expect to achieve in the short-term and long-term, and how quickly could the SLA/ABC expect to leverage a return on the investment in a business process improvement project in relation to the backlog that has to be eliminated by October 2010?

Schedule of Dates

The following key events and dates apply to the RFI:

<u>Key Event</u>	<u>Date</u>
Release of the RFI	January 11, 2010
Notice of Intent to Participate in Roundtable	January 15, 2010
Vendor Inquiries Regarding RFI Due to SLA	January 15, 2010
Response to Inquiries	January 22, 2010
Written response to Vendor Discussion agenda questions	January 22, 2010
Roundtable Session I	February 1, 2010
Vendor Inquiries Regarding Roundtable Due to SLA	February 3, 2010
Response to Inquiries and Roundtable II Agenda	February 5, 2010
Roundtable Session II	February 10, 2010
Written Responses Due to SLA	February 22, 2010

Format of Response

This RFI will have two components: two roundtable discussions and subsequent formal written responses from the vendor community. Respondents may choose to participate in one or both aspects of the RFI. In either case, Respondents are directed to follow the guidelines outlined below.

The SLA/ABC asks that Respondents be creative when providing information related to this RFI. Respondents are permitted to submit responses, either in whole or in part, in collaboration with other Respondents.

Participation in Roundtable Discussion Sessions

To maintain an open dialogue with the vendor community, the SLA/ABC will facilitate and lead structured roundtable discussions. The first roundtable session will begin with a presentation of the major divisions of the SLA/ABC. Following the presentation, the facilitator will guide a structured discussion between SLA/ABC representatives, stakeholders and the vendor community. An agenda and expected topics for discussion during the first roundtable session is included in Appendix C.

The SLA has also defined a specific set of questions related to the process to consider in preparation for the RFI roundtable discussion. These questions are included in the agenda (Appendix C).

Interested vendors are asked to submit questions in writing related to the RFI no later than **January 15, 2010**. Interested vendors are also asked to provide a written response to the questions in the Round Table Agenda Facilitated Vendor Discussion section by **January 22, 2010**, for the information to be of the most value for the round table discussion.

The First Roundtable session will take place on **February 1, 2010** from 8:30 a.m. to 4:30 p.m. and will be held at the Alfred E. Smith State Office Building located at 80 South Swan Street, Albany NY in large meeting room 148 off the lobby area.

The SLA may also distribute, via e-mail, follow-up questions to Respondents attending the Roundtable discussion session. Should this occur, Respondents will be asked to submit their responses to those questions no later than **February 5, 2010**.

Submission of Written Responses to RFI

The final written response to the RFI will be due to the SLA/ABC by 5:00 p.m. **February 22, 2010**. In addition to providing comments on some or all of the questions listed in Appendix D, Respondents may also submit any existing material or material prepared specifically in response to the RFI which they believe may be of interest to the SLA/ABC.

One (1) electronic copy in Microsoft Word should be emailed to rfi@abc.state.ny.us and four (4) hard copies should be mailed to:

Trina Mead, Chief Executive Officer
New York State Liquor Authority
80 South Swan St. Suite 900 Albany, NY 12210-8002

Administrative Information

Issuing Office and General Information

This RFI is issued by the SLA/ABC. The Office within the SLA/ABC responsible for the issuance of the RFI and any subsequent communications pertaining to the RFI is the office of the CEO.

The SLA/ABC is seeking information in response to this RFI. This is **not a bid solicitation** and there is not a guarantee that the information gathered from this outreach effort will result in a future

solicitation for any services. A Response does not bind or obligate the Responder or the State to any agreement of provision or procurement of products or services referenced.

Vendor Inquiries

The SLA/ABC asks that questions concerning this RFI be submitted in writing before 10:00 am on **January 15, 2010**, and directed to:

e-mail: rfi@abc.state.ny.us

The responses to all such inquiries will be posted on or about **January 22, 2010** on the SLA website: <http://www.abc.state.ny.us>.

Incurring Costs

The State will not be liable for any costs incurred by any Respondent pertaining to the preparation for the Roundtable session or for a written Response to this RFI.

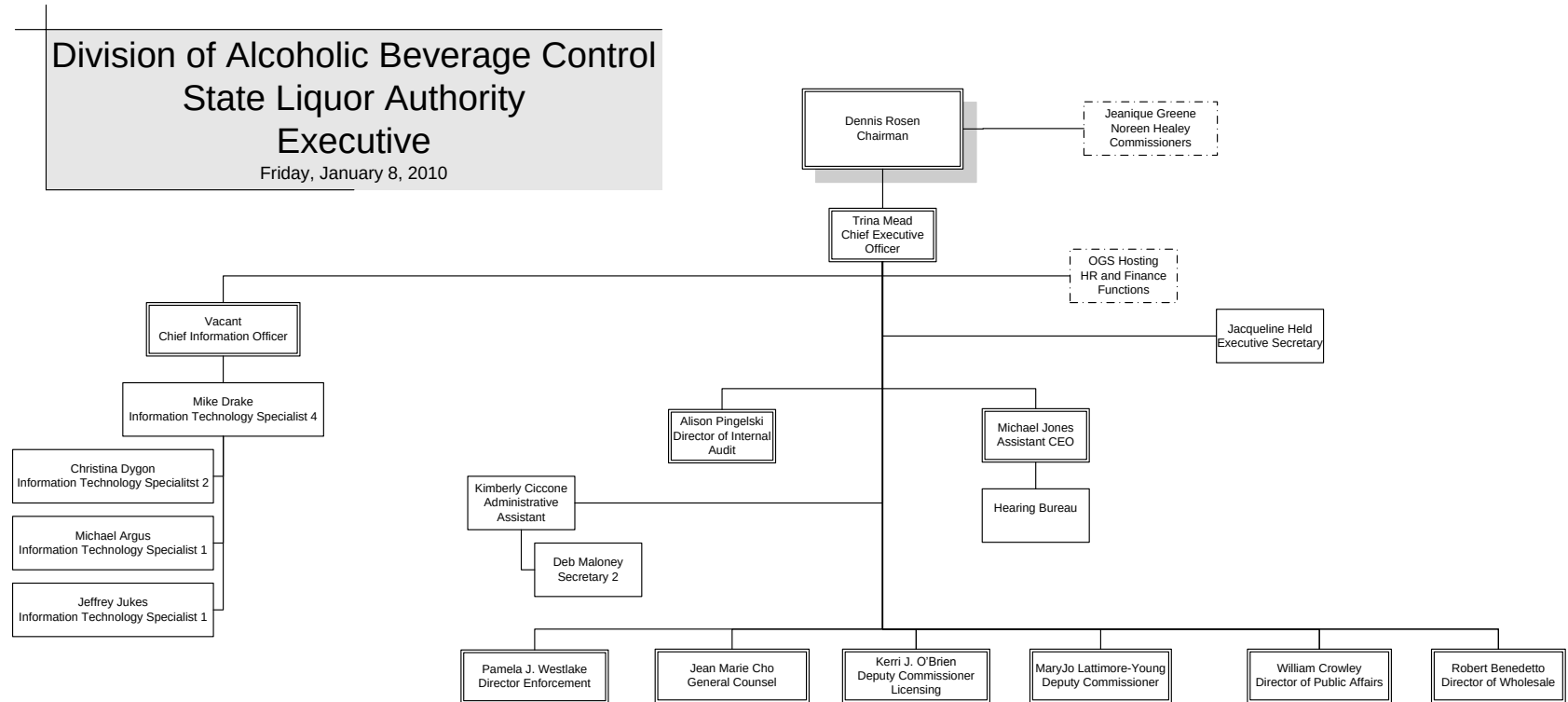
Responses to the RFI: FOIL Disclosure

All materials submitted by a Respondent in response to the RFI shall become the property of the State and may be returned to the Respondent at the sole discretion of the State. The State has the right to adopt, modify, or reject any or all ideas presented in any material submitted in response to the RFI.

To request that materials be protected from New York State Freedom of Information Law ("FOIL") disclosure, the Respondent must follow the procedures below regarding the FOIL. If a Respondent believes that any information in its Response or subsequent communication constitutes proprietary and/or trade secret information and desires that such information not be disclosed if requested pursuant to the New York State Freedom of Information Law, Article 6 of the Public Officers Law, the Respondent should make that assertion by completing Exhibit A entitled "Freedom of Information Law - Request for Redactions Chart" and including the completed exhibit in its Response.

Respondent should specifically identify by page number, line, or other appropriate designation, the specific information requested to be protected from FOIL disclosure and the specific reason why such information should not be disclosed. (Note: Exhibit A contains information regarding appropriate justification for protection from FOIL disclosure.) Vague, non-specific, summary allegations that material is proprietary or trade-secret are inadequate and will not result in protection from FOIL disclosure. **If the Respondent chooses not to assert that any material or subsequent correspondence should be protected from FOIL disclosure, the Respondent is requested to so advise the State by checking the applicable box on Exhibit A and including the completed form in the Respondent's Response.** In the event any material is requested pursuant to FOIL, the SLA/ABC, will address each party's interests fully in accordance with the procedures required by Article 6 of the Public Officers Law.

Appendix A – SLA/ABC Executive Organizational Chart



Appendix B– Schedule of Applications and Databases

Application	Description of the application and database
 Compliance	Compliance Workflow Module - Database SLA_COMP Used to process and track disciplinary matters such as complaints, investigations, disciplinary charges, hearings, full board scheduling and penalties issued by the Authority.
 Corporate Finance	Corporate Finance Module – Database SLA_MAIN Used to processing of all license / permit renewals fees, renewal invitation letters, and to issue certificates.
 Finance	Licensing Finance Module – Database SLA_MAIN Used to process license / permit deposits by assigning batch and item #'s and provides options for replacing or inserting checks.
 Full Board	Full Board Agenda Module – Database SLA_FBAG Used to create all disciplinary full board schedule and agendas, limit agenda item thresholds, reschedule items, and enter member votes.
 Intake	Licensing Intake Module – Database SLA_MAIN Used to process the intake of all licenses and permits. Assigns the serial number, calculates and accepts fees and creates workflow.
 Restitution	Compliance Finance Module – Database SLA_COMP Used to process all penalties imposed by Counsel's Office and the Full Board.
 TPA	Temporary Beer and Wine Permit Module – Database SLA_MAIN Used to intake, process and issue all temporary beer and wine permits.
 Wholesale	Wholesale Module – Database SLA_MAIN Used to intake, process and issue all brand label registrations. Used to view and process delinquent accounts.
 Workflow	Licensing Workflow Module – Database SLA_MAIN Used to process and track license, license changes, and permit applications through data entry, review, license board review, and issuance, as well as maintain existing records.

The above descriptions have been provided as a guide - additional functionality may or may not be available.

Appendix C – Roundtable Agenda

February 1, 2010

8:00 Registration and sign in

Registration of attendance to this round table is mandatory. Only those who have responded in advance will be accommodated at the Vendor Representative tables.

8:30 Overview of the State Liquor Authority

- Licensing
- Wholesale
- Enforcement
- Counsel's Office
- Hearing Bureau
- Secretary's Office
- Full Board
- Information Technology

9:30 Break

9:45 External Stakeholders Panel

Industry representatives will present their vision for the system and the types of transactions and exchange of information they would like to be able access electronically. The focus of the discussion will be on the topics below:

- What are the top two areas where the SLA can make improvements to its system that would have the greatest impact?
- What types of information could the SLA make available that would improve the way you do business with the SLA?
- How could the licensing application process and the forms used in the process be changed to reduce or eliminate application returns due to so-called "deficiencies"?
- What are the top three reasons you or your representative would need to come to an SLA office?
- What are your ideas or suggestions for improving the way the SLA provides service to its stakeholders?

12:00 Lunch (on your own)

Appendix C – Roundtable Agenda

12:45 Facilitated Vendor Discussion (**written responses due to the SLA by January 22, 2010**)

Project Management

1. What type of preplanning could the SLA do to prepare for a project this size?
2. What information should the SLA gather to provide to potential future bidders to enable them to hone their approaches and cost estimates?
3. What are the major or key areas to consider when planning a project this size and what are the priorities? Is there any overlap where activities could be performed concurrently and how will they be identified?
4. What are the major risks to this project and what are your recommendations for mitigating those risks?
5. What do you perceive are the assumptions and constraints for a project this size and scope?
6. What do you recommend regarding staffing this project with SLA staff?
7. How do you envision the agency balancing the backlog that has to be eliminated by October 2010, the daily work received and the scope of the project?

Business Process Improvement

1. Prior to beginning a business process improvement process, what steps can the SLA/ABC take to provide expectations and communications to ready the staff?
2. Does it matter if the current procedures are not adequately documented? If so, how could the SLA best invest resources in the procedures to make the most impact? What would the impact be?
3. What method could be used to calculate the “right” number of staff that would best be deployed at the SLA in order to accomplish the work expeditiously yet in a cost effective way?
4. How much time would be spent on the current process and how much detail would be needed to get the requirements?
5. What can the SLA expect for deliverables of the business process phase? What type of models would be included and what other information would accompany those models that would be useful for the requirements gathering and later for fit gap and implementation? Is it reasonable for the SLA to expect to receive workflow diagrams and logical data models? What other models may be necessary?
6. How many SLA staff would be needed from each function and how much time would they be required to spend on this type of project?
7. What is the best practice for including external stakeholders and what do you propose in light of the above scope?

Requirements Gathering

1. How do you envision capturing requirements that address the mandates of the ABC law?
2. What approaches have you used to effectively gather requirements in a condensed time frame?
3. Are there key requirements which matter more than others?
4. What progress can the SLA/ABC make prior to completing the requirements gathering?
5. How will the SLA/ABC determine what requirements are mandatory versus optional? What are the consequences if the original determination needs to be changed? How does the SLA/ABC minimize the financial impact of such decisions?

Return on Investment

1. Describe the typical return on investment for a project of this scope.
2. What are expected milestones?
3. How quickly could the SLA begin to see a return on its investment and to what degree?

Appendix D – Questions for Respondents for Final Response

Potential Bidder

1. Are you familiar with the NYS ABC law?
 - a. If so, how will you be able to manage its complexities within a Commercial off-the-Shelf (COTS) system?
 - b. How will you account for the law? If there are changes in the law what will need to be done to change the COTS system?
 - c. Will we need to make changes to the law immediately in order to implement a product? If so, do you know which laws?
 - d. If you offer a product, how flexible is the COTS system out of the box?
 - e. What percentage of changes made to COTS system requires programming versus changes that are within the product offering?
2. Describe the amount and type of experience a project team would need to perform the type of work required by the SLA?
3. What would the ideal project team look like when considering the amount of work that needs to be done? How would that project team be deployed (i.e., all at once, on boarded and off boarded, etc.)?
4. Based on the objectives, what percentage of the effort for each area would give the most well rounded plan to accomplish to objectives?
5. Do you believe it is necessary to have State government experience or does any experience qualify? Why?
6. Please explain if you have experience implementing COTS systems like this and if so, where and which ones?

Business Process Improvement

1. Based on what you know about the SLA, do you have any ideas as to how we will have to modify our business processes in order to implement a new COTS system?
2. Do you have prior experience with business process improvement? If so, please explain.
 - a. Based on your experience, what is the most important part of a BPI and how does that part impact the remaining objectives of the SLA project?

Information Technology

1. Based on the core COTS system functionality, describe how a system may or may not integrate the various licensing, enforcement, legal, wholesale, administration, Full Board functions, financial transactions and creating of comm.
2. Would a COTS system be able to interface with other law enforcement or regulatory agencies? If so, which ones.
3. How do you envision a COTS system interfacing with users outside the agency? How will that work?
4. What does the SLA have to do to prepare to provide users remote access?
5. If the SLA does not have any hardware to get started, what type of hardware will we need to invest in?
 - a. How much do you estimate this will cost?
 - b. Does it all have to be purchased at one time or could it be purchase over the life o the project?
6. What types of COTS system controls are offer as part of the core system that the SLA could use to detect fraud?
 - a. Do you have training and experience in fraud detection? If so, describe how your experience would be helpful? How will it work? What will it detect? What type of controls or detection activities do you recommend?
7. The current business processes require the preparation of letters and reports; are COTS systems compatible with Microsoft Word? If so, are all COTS compatible? If not, please specify which COTS are not.
 - a. Please describe the features that would be compatible.
8. What are the risks to allowing external access to enable stakeholders to data enter directly into the COTS system? How are those risks mitigated with the COTS system?
9. How do products interface with the internet?
 - a. What protection or security features are provided to secure personal and confidential data?
 - b. What, if anything, would the SLA have to do to “transfer” data?
10. Considering our current infrastructure, what are your recommendations for how the SLA should proceed with its IT strategic planning and investments?

11. Other agencies in New York State have licensing and compliance systems that may or may not be included in the initial rollout of the shared services solution. How do you envision the SLA would interface with those systems to exchange information?
12. Are COTS systems configurable, and if so, how much effort is needed to make a change to the system? What cost is associated with a configuration change? How much training is typically provided and required for agency staff to make configuration changes? What type of mobile solution does your product provide? What types of devices can it be deployed to?
13. Describe the type of controls or edit check used in COTS products. What type of information would be available for an audit?

Features and Functions

1. The SLA provides information on a daily basis to both public and private organizations; describe how a COTS system could be used to make this information readily available.
2. The SLA searches for a variety of information.
 - a. What type of information does a COTS system provide and how robust are the search capabilities?
 - b. Describe the “standard” search criteria and provide an example of a more complex search.
 - c. Describe how a COTS system would enable the agency to search a variety of data elements and further refine the results list.
3. Does the COTS system offer standard reports, and if so, describe the types of reports that would be available.
4. Describe how information for each office would be identified.
5. Describe how COTS systems handle external documents such as a photo of a premise or a faxed form.
6. Describe how an applicant would complete an application and submit payment. What information would be available to the SLA about the transaction?
7. What types of flags or indicators do COTS systems offer? How many are readily available and how many are available to be configured and what would require a program change?
8. How many addresses can be associated with any one location? Describe any limitations for establishing a one-to-many relationship (i.e., one owner to many establishments, one address to many establishments, one establishment with many owners, etc.)?
9. What is the process for generating a correspondent to one or many of our licensees?
10. What type of functions are standard and what type of information would be customized for the SLA?
11. The SLA recently purchased GIS software – describe how your product interfaces with GIS? Are there any limitations?
12. What specific types of performance measures are included in your product? Does it include a dashboard view?
13. The SLA/ABC collects a variety of fees. Describe how a COTS system could track, record and report information about funds.

Implementation

1. How long could the SLA expect it to take from conception to implementation?
2. What type of conversion will have to happen from the old system to the new one?
3. Do you recommend parallel processing or a clean cut over?
4. Do you have past experience doing this type of implementation? If so, please describe what you learned from the implementation?
5. Is there a specific area where your clients have not been effective and how could the SLA prevent or prepare to avoid such situations?
6. What have you experienced to be the top three biggest obstacles in implementing a COTS system?
7. What are the top five best practices of organizations that have implemented a COTS system?
8. What is the expected ROI and how quickly will we start to see a return on our investment?
9. Currently our system does not have the right fields and therefore data is entered in “random” fields. What do you propose to do with the disparate databases and non standardized, redundant data?

Maintenance

1. Who will provide maintenance going forward?
2. What is the approximate cost of upgrades and how often can the SLA expect to receive major upgrades?
3. What are the risks in implementation that would have an impact on ongoing maintenance costs?
 - a. What are the recommended strategies for avoiding those risks?
4. Since the SLA/ABC is a small agency, with a large mission and very little IT staff, describe how you might provide ongoing support for us?
5. What are the common types of issues or problems you receive the most from your current customers?
6. What kind of flexibility do you offer in your maintenance plans?

Training

1. Describe the type of training that would be needed to implement the complete vision. Consider the following:
 - Who will provide training to staff?
 - How long will training take?
 - How will training for upgrades be provided, who will provide?
 - Will training be provided on site or will off site training be necessary?
 - How will training dovetail with implementation?
 - How would training be rolled-out? For instance, licensing first, enforcement second, etc.
 - How much will training cost? Will there be a yearly cost for ongoing training?
 - What is included in the training?

Exhibit A: Freedom of Information Law – Request for Redactions Chart

(Name of Company)

Response Dated: _____

In response to the Request for Information No. 2010RFI01 entitled “*The SLA/ABC Revitalization Project*”.

Respondent asserts that the information noted in the table below, as well as the information set forth in the table, constitute proprietary and/or trade secret information and desires that such information not be disclosed if requested pursuant to the New York State Freedom of Information Law, Article 6 of the Public Officers Law.

Respondent makes NO assertion that any information in its Response, in whole or in part, should be protected from FOIL disclosure.

Requested Redaction Page #'s and Section	Description	Respondent Rationale for Proposed Redaction
<i>Insert rows above as necessary</i>		

Please provide specific justification for each item for which you seek protection from FOIL disclosure. An appropriate justification may include any one or more of the following considerations by which the Respondent must demonstrate reasonably whether the item for which you seek protection may be excepted from disclosure:

- the confidential nature of the specific item, including a description of the nature and extent of the injury to the Respondent's competitive position, such as unfair economic or competitive damage, which would be incurred were the information/record to be disclosed;
- whether the specific information/record is treated as confidential by the Respondent, including whether it ever has been made available to any person or entity;
- whether any patent, copyright, or similar legal protection exists for the specific item of information;
- whether the public disclosure of the information/record is otherwise restricted by law, and the specific source and content of such restriction;
- the date upon which the information/record no longer will need to be kept confidential, if applicable;
- whether the item of information is known by anyone outside the Respondent's business or organization;
- the extent to which the information is known by Respondent's employees and others involved in the Respondent's business;
- the value of the specific information/record to the Respondent and to its competitors;
- the amount of effort or money expended by the Respondent in developing the information/record; and
- the ease or difficulty with which the information could be properly acquired or duplicated (not merely copied) for use by others.