

**Law Enforcement Records
Management System RFP
Pre-Proposal Conference**

September 18, 2014



**Andrew M. Cuomo
Governor
State of New York**

**RoAnn M. Destito
Commissioner
Office of General Services**

Introductions

Moderator: Jonathan Davis, OGS, NYSPro Procurement Specialist

PANEL:

Name	Organization
Karen Fowler	OGS, NYS Procurement (NYSPro)
Dewan Bristo	OGS, NYS Procurement (NYSPro)
Lynda Shoemaker	OGS, NYS Procurement (NYSPro)
S/I Tom Kropp	NYS Division of State Police
Beth Bloodgood	NYS Office of Information Technology Services
Tracy Beckett	NYS Office of Information Technology Services

Conference Schedule

Activity	Time(s)
Introduction	1:00-1:05 PM
RFP Overview	1:05-1:10 PM
Administrative Considerations	1:10-1:20 PM
Financial Proposal Submission	1:20-1:40 PM
Technical Requirements	1:30-1:45 PM
BREAK	1:45-2:15 PM
Question and Answer Period	2:15-3:00 PM
Wrap-Up/Closing	3:00PM

Question & Answer Policy

- Questions will be answered at the end of the conference.
- Questions must be submitted in writing. Bidders participating via WebEx may send questions to the designated email address below, which will be monitored during today's presentation:

SST_Telecommunications@OGS.NY.GOV

- Prior to the break questions will be collected and reviewed.
- Questions may be answered verbally, however today's verbal answers are not binding. Only the written responses published after today's conference will be the official, binding responses of the State.
- After today all additional questions must be submitted in writing to the mailbox designated in the RFP. Answers will be posted on the NYSPRO website and released via the Bidder Notification System.

Ground Rules

New York State Procurement Lobbying Act:

- State Finance Law §§139-j and 139-k
- Certain limitations on communications between the State and Vendors during the “Restricted Period”
- All communication must be directed to the designated contacts identified in the RFP, via the following email address:

SST_Telecommunications@OGS.NY.GOV
- Further information is available at: <http://ogs.ny.gov/acpl/> and http://www.ogs.ny.gov/aboutOgs/regulations/defaultSFL_139j-k.asp
- Pre-Proposal meetings are exempt from restrictions associated with the Procurement Lobbying Act

RFP Overview



RFP Timeline

Key Dates:

Event	Date
RFP Release	9/4/2014
Opening Date for Pre-Proposal Question Submission	9/4/14
MANDATORY Pre-Proposal Conference Registration Deadline	9/16/14
MANDATORY Pre-Proposal Conference	9/18/14
Closing Date for Round 1 Questions	9/19/14
Response to all Round 1 Questions	9/24/14
Opening Date for Round 2 Questions	9/24/14
Closing Date for Round 2 Questions	9/30/14
Response to all Round 2 Questions	10/8/14
MANDATORY Notice of Intent to Submit a Proposal	10/14/14
Proposal Submission Deadline	10/22/14, 11:00 AM EST
Tentative Award	1/29/15
Contract Execution	3/12/15
Anticipated Project Start	3/19/15

* OGS reserves the right to change any of the dates stated in this RFP.

RFP Overview

- OGS/NYSPro released a Request for Proposal (RFP) for a Law Enforcement Records Management System on behalf of the New York State Police (NYSP) and the NYS Office of Information Technology Services (ITS).
- This RFP is issued to solicit proposals from qualified vendors with prior successful experience in replacing an older RMS with a new integrated RMS using COTS products and services, and if necessary, customized products and services.

RFP Overview

- The intent of this procurement is to provide a vehicle to replace the current, aging records management system now used by the New York State Police and over 220 other law enforcement agencies.
- The new system will be a state-of-the art Statewide Law Enforcement Records Management System (RMS).
- The contract will be available to all Authorized Users to procure services related to RMS.
- The new RMS system will also be made available to over 300 additional Law Enforcement Agencies across the State.
- The RMS will provide investigative tools that enhance the ability of law enforcement in New York to navigate the criminal investigation process, reduce the time to resolution and improve public safety.

Administrative Considerations



Administrative Considerations

- The Bidder should submit a proposal that clearly and concisely provides all of the information required, upon which the State will base its evaluation.
- Emphasis should be concentrated on conformance to the RFP instructions, responsiveness to the RFP requirements and clarity of content.
- Proposals that do not comply with these instructions, or do not meet the full intent of all of the requirements of this RFP may be subject to scoring reductions during the evaluation process or may be deemed non-responsive and disqualified from further consideration for award.

Administrative Considerations

A complete Administrative Proposal will consist of the following items, as further described herein:

- Completed and signed Pages 1 and 2 of the RFP (Cover Sheet and Acknowledgement Page)
- Completed Attachment 17 – Proposal Checklist
- Completed and signed Attachment 18 – NYS Required Certifications
- Completed Attachment 19 - Encouraging Use of NYS Businesses
- Commitment to obtain, or proof of compliance with Workers' Compensation, Disability Benefits Coverage and Insurance Requirements in accordance with Attachment 20 – Insurance Requirements
- Completed and signed Contractor Certification ST-220-CA
- Completed Vendor Responsibility Questionnaire For-Profit Business Entity or proof of on-line submission

Format and Content of Bid Submittal

- Three (3) separate parts: Administrative, Technical, Financial.
- Each part separately labeled and sealed.
- 2 original hard copies and 2 electronic copies of each part.
- Do not include any cost information in the Technical Proposal.
- Do not include any technical or administrative information in the Financial Proposal.
- Any exceptions to the State's terms and conditions must be submitted as Extraneous Terms via Attachment 22 or via Attachment 24 – Inquiries Template.
- The State will not consider any exceptions to Appendix A or any material and substantive exceptions to Appendix B.

Method of Award/Evaluation Process

Minimum Qualifications

- The Bidder has been in continuous operation for at least the past five (5) years.
- The Bidder directly offers a Commercial off-the-shelf (COTS) Law Enforcement Records Management System software product (RMS) for use by state or large local government jurisdictions within the United States or Canada (**Note: A prospective Bidder who acts solely as a system or service integrator for an RMS solution does not meet this requirement**).
- The Bidder has all title, interest and rights to the RMS and underlying source code and can directly license, sub-license, create derivative works, escrow, publicly display and perform, distribute and modify the RMS product(s) proposed in the bid submission and the underlying source code to the State, without using a reseller, VAR or any third-party distributor or partner for the RMS products.
- The Bidder must be able to provide the direct support and maintenance for the RMS solution.

M/WBEs and Small Businesses

- State Finance Law section 163(1)(j) allows, when making a Best Value determination, for the inclusion of a quantitative factor for Bidders that are Small Businesses or certified Minority or Women-owned Business Enterprises (MWBEs).
- In accordance with such authority, five percent (5%) of the total technical evaluation scale (referred to herein as the “quantitative factor”) will be awarded to any responsive Bidder who meets one of the following criteria:
 - The Bidder is a New York State Certified Minority and Women-owned Business Enterprise (MWBE); or
 - The Bidder is a Small Business as defined in Executive Law Section 310(20) (SBE).
- For the Bidder to receive the quantitative factor credit for being a MWBE, the Bidder must have been listed as an MWBE in the directory of New York State Certified MWBEs (“Directory”) on the Proposal Submission Deadline specified in the RFP.

M/WBE Goals

- For purposes of this procurement, OGS hereby establishes a goal of 10% for Minority-owned Business Enterprises (MBE) participation and 10% for Women-owned Business Enterprises (WBE) participation (collectively referred to as MWBE) for a total contract MWBE goal of 20%.
- The total Contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract. The directory of New York State Certified MWBEs can be viewed at:
<https://ny.newnycontracts.com/frontend/diversityusers.asp>.

Financial Proposal Submission



Pricing Models

- OGS, NYSPro did not prescribe a specific pricing model given the variety of models in this software space.
- The primary goal of this approach is to give offerors the flexibility to develop models that provide NYS with the greatest value throughout the term of the contract.
- Different models can be utilized during each of the three (3) phases of the project.
- Total cost of ownership must include the fees for licenses for all project phases as defined in the RFP throughout the term of the contract regardless of the offeror's proposed model(s).

Pricing Models (continued)

Example 1

Phase 1	Fee Type	Cost
	# of Sworn Officers using RMS	\$10 per Sworn Officer
	Total	\$46,000
Phase 2	Fee Type	Cost
	# of Sworn Officers using RMS	\$10 per Sworn Officer
	Total	\$30,000
Phase 3	Fee Type	Cost
	Statewide License -- Full	\$24,000
	Total	\$24,000

Offerer proposes to provide licenses to NYS initially based on the number of sworn officers and, eventually, as a statewide license. This approach provides the offerer with license fees as soon as sworn officers are using the system and defers the full cost of the statewide license until Phase 3 which benefits NYS.

Fill in the following chart based on the Bidder's approach to licensing for NYS throughout the term of the contract. Please use RFP Table 1 – Expected Implementation Schedule to estimate the annual costs. This information will be used for budgeting purposes.

2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	Total
	\$46,000	\$30,000		\$24,000						\$100,000

Pricing Models (continued)

Example 2

Phase 1	Fee Type	Cost
	Statewide License – 1 st installment	\$30,000.00
	Total	\$30,000.00
Phase 2	Fee Type	Cost
	Statewide License – 2 nd installment	\$20,000.00
	Total	\$20,000.00
Phase 3	Fee Type	Cost
	Statewide License – Final installment	\$50,000.00
	Total	\$50,000.00

Offerer proposes to provide a statewide license to NYS through three installment payments. This approach provides the offerer with license fees for each phase and defers the full cost of the statewide license until Phase 3 which benefits NYS.

Fill in the following chart based on the Bidder's approach to licensing for NYS throughout the term of the contract. Please use RFP Table 1 – Expected Implementation Schedule to estimate the annual costs. This information will be used for budgeting purposes.

2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	Total
	\$30,000	\$20,000		\$50,000						\$100,000

Financial Proposal - CPI Price Adjustments

- There shall be no CPI price adjustments during the first five years of the Contract. However, pricing updates that apply to the Manufacturer's published price list can be submitted on the first anniversary date of the Contract and on each anniversary date thereafter.
- Any pricing updates must be executed through the process outlined in Section 7.8 - Centralized Contract Modifications, and Appendix P.
- The pricing for the following contract items shall remain fixed for the term of the contract and any extensions:
 - Licenses
 - Maintenance and Support
- CPI price adjustments are based upon fluctuations in the latest published copy of the Consumer Price Index for all urban consumers as published by the U S. Department of Labor, Bureau of Labor Statistics, Washington, D.C. 20212.

Technical Requirements



Technical Proposal Requirements

Understanding Section 1.1 Functional Requirements

- The functional requirements are grouped into 8 major categories, each with a vision statement regarding what NYS is expecting from a new RMS.
- Some of the requirements listed under each vision category have a descriptive paragraph to provide further clarification.
- A glossary (Appendix D) is provided to aid in clarification regarding terms used in the general practice of New York State Law Enforcement.
- It's strongly recommended that the vendor review the visions, descriptive paragraphs, and the glossary to have a full and complete understanding of the requirements.

Technical Proposal Requirements

Investigative Case Management Vision

The Division of State Police is divided into specific geographic regions where Members of the Uniform Force and Bureau of Criminal Investigation are assigned and respond to all manner of calls. Investigations can range from a simple officer initiated assist to motorist to a complex long term multi-county homicide investigation involving multiple agencies and thousands of investigative leads.

The Agency seeks to create an efficient workflow process through the records management system that will assist users at all levels in the completion of their jobs. Workflow should assist in all levels of investigations from a routine call for service being completed and forwarded for supervisor review to a criminal investigation started by a Trooper and turned over to an Investigator. All investigative steps and actions should be documented within the proposed solution, from the initiation of an assignment to the issuance and execution of search and arrest warrants.

The Division of State Police utilizes CAD's in only two of the 10 Troops and not all other NYS Law Enforcement Agencies utilize a CAD to document Calls for Service. This information is still required to be documented. Where CAD's are utilized by the State Police, the call for service still needs to be completed within the current RMS. Where CADs are not utilized the documentation takes place in the current RMS.

Requirement Number: 20
Requirement Name: Call for Service

Currently not all NYS Law Enforcement utilize a CAD to document Calls for Service, however this information is still required to be documented. Where a CAD is not utilized the documentation takes place in an RMS.

Appendix D – Glossary of Terms

New York State Law Enforcement Records Management System

Call for Service	An event occurring in an area in which police must respond to evaluate or take action, or an event that comes to the attention of police, or is initiated by the police that requires formal documentation.
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Technical Proposal Requirements

Multi-Jurisdictional vs Multi-Tenancy

Multi-Jurisdictional

- Legal authority given to specific agencies to conduct investigations across multiple counties or geographical boundaries (i.e. multiple towns within a county) resulting in involvement of multiple courts and/or prosecutors.
- Example: A NYSP Investigator investigates a sex abuse case with one victim and one suspect. The abuse occurred on 3 different dates in 3 different counties. The NYSP Investigator would file charges in all 3 counties with separate arrest numbers and fingerprint submissions.

Multi-Tenancy

- The ability to support multiple law enforcement agencies in a single installation of the RMS.

Technical Proposal Requirements

COTS vs. CUSTOM

COTS Solution

- Goods in the commercial marketplace that can be purchased and used under government contract. Only if all components of a requirement are available in the baseline COTS should COTS be selected.

CUSTOM Solution

- A solution that is not part of a baseline COTS RMS solution and either has to be developed special or while built for other customers is not part of the base application.

Technical Proposal Requirements

Evidence/Property Batching

- The NYSP are required to transfer, transport or change the disposition of large quantities of property from individual cases as well as multiple cases at once.
- The NYSP have a need to electronically batch or group property from individual or multiple cases from one location to another. Examples:
 - 5 separate cases at SP Binghamton contain property.
 - 2 items from each case have to be sent to the lab for analysis.
 - The property custodian physically takes the 10 items and electronically transfers the items in the RMS (simultaneously updating each piece of affected property without accessing each individual case).

Technical Proposal Requirements

NYS Specific Requirements

Rosario Rule

- New York State Law (People v Rosario 9 NY2d 286) requires the retention of any statements of a witness who will testify at trial. Examples of these statements include, forms that summarize a witness statement, a signed statement by a witness, and paperwork prepared by a testifying police officer including all notes and revisions.
- To be in compliance with the Rosario Rule, the NYSP must have the ability to attach hand written documents to the RMS as well as retain copies of documents produced within the RMS with the various stages of revision. In addition, the NYSP is looking for an audit trail regarding activity within a case.

NYS IBR/UCR

- Reference NYS Division of Criminal Justice Services (DCJS) website

Technical Proposal Requirements

Remote Access\Offline Functionality

- Access to RMS from within a patrol car.
- Access from a temporary or a remote location outside of the station.
- Some RMS functionality when network connectivity is not available (“Offline”) with the ability to transmit completed work when a connection is re-established.

Criminal Justice Information Services (CJIS) Security Policy

- New updated CJIS policy released 8/4/14 (Refer to Appendix Q).
- You must be fully compliant with all CJIS policies.

Technical Proposal Requirements

Attachment 16 Customer References

- There is an instruction page that should be reviewed prior to answering the questions in the spreadsheet to ensure that accurate information is provided.
- Bidders shall provide information on ALL their RMS customers they have had for the last 10 years. Failed and successful engagements must both be included.
- Attachment 16 is used in the Qualification Evaluation and also in selecting Customer References.

Technical Proposal Requirements

Solution Demonstration

- Specific preloaded data is provided for certain scenarios.
- Some scenarios require preloaded data to seed the database, ie: to properly demonstrate activity reporting we require the entry of ten generic calls for service.
- It is expected that certain information will be entered into the RMS as part of the demonstration and indicated as such.
- The vendor will demonstrate the 10 scenarios from Appendix R within the allotted time.
- For features that have not yet been built into the system, a mock up showing how the feature would look and operate is required.
- Time permitting the vendor may show multiple methods for completing scenarios.

Technical Requirements

Attachment 1.2 Integration Requirements

- The Integration requirements like the functional requirements have a vision statement regarding what NYS is expecting from a new RMS.
- These requirements must be addressed in Phase 1.
- Each requirement describes the current state for NYSP and in some cases opportunities for improvement .
- A glossary (Appendix D) is provided to aid in clarification regarding terms used in the general practice of New York State Law Enforcement.
- It is the vendor's responsibility to provide fully tested and working solutions for all required interfaces\points of integration. Simply identifying the availability of an API in the RMS will not be considered responsive unless an API is specifically specified within the requirement.

Technical Requirements

Attachment 1.3 Mandatory Technical Requirements

- Infrastructure will be acquired, installed and managed by NYS based on specifications provided in the winning bidder's proposal.
- All technical requirements contained within Attachment 1.3 are mandatory
- Key architectural aspects of the evaluation:
 1. Multi-tenant support (24/7/365)
 2. High availability configuration
 3. Approach to scalability (e.g., horizontal vs. vertical)
 4. A permanent NYS RMS training environment (available 24/7/365)
 5. Conformity to NYS ITS standards
 6. Validity of proposed configuration based on references and NYS ITS expert analysis
 7. Security
 8. Interoperability

Expected Implementation Strategy

Phase	Phase Definition	*Anticipated Volume of Sworn Officers	Desired Implementation Methodology	**Expected Completion Fully Functional	Training Notes
1	Fully implement selected contractor's RMS solution and migrate NYSP users from SJS to new RMS	4600 Sworn Officers	One or two local LEAs to participate in initial implementation)	It is highly desirable that a fully functional records management system is implemented by the Contractor no later than 14 months following approval of the Contract;	All in-person vendor led training will be conducted from a centralized training academy. This training consists of T3, Business Administrator, and System Administrator training.
2	LEA users migrating from SJS to new RMS (to include other State Entities currently using SJS)	3000 Sworn Officers	2 LEAs/entities per week – ITS will make every effort to implement in geographic clusters	Within 2 years after phase 1 completion. Note phase 2 activities may begin prior to completion of phase 1 providing there is no degradation in delivery of phase 1 (this timeframe is highly desired)	Vendor hands on training will not be necessary at every LEA
3	Non-SJS users migrating to new RMS (assuming 130 of the possible 300 entities)	7800 Sworn Officers (Assuming the average of 60 users for each LEA not using SJS sworn officers)	4 LEAs per month	Beginning as quickly as feasible without degrading progress on phases 1 & 2	Vendor hands on training will not be necessary at every LEA

* Note: Anticipated Volume of Sworn Officer information is estimated and is intended to assist with bidder proposal development including licensing, pricing, etc.

** The State reserves the right to change stated timelines to meet the best interest of the State.

Break



Questions & Answers

