

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 system functionality, describe how your system may or may not integrate the various licensing, enforcement, legal, wholesale, administration, Full Board functions, financial transactions and creating of the various correspondents associated with these functions.
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?