

The SLA/ABC Revitalization Project

Vendor Inquiries

Due February 3, 2010

1. What are the magnitudes of backlogs in Enforcement, Legal, and Wholesale, that should be considered when scoping the BPI effort and future-state solution?
 - a. It is difficult to quantify the backlogs because some of the information was not being entered into the system. With respect to Enforcement and Legal their work is exchanged back and forth. For example, Enforcement will receive a complaint that may lead to an investigation. The summary and evidence collected is forwarded to the Legal bureau to bring charges. The prosecutor may need additional evidence and will send the case back to Enforcement with a request for more information. Wholesale has a paper intensive process and someone would have to count the number of applications that are in each "state" to determine the true number of backlog items. The SLA has begun evaluating this process and should have more information in the next few weeks.

2. Is there a similar issue with backlog or transaction delays in administering the Full Board Agenda?
 - a. The Full Board Agenda is prepared every two weeks so there is not a backlog. There is however a cutoff date for submitting items for the agenda in order to prepare the package for the Board to review related to each item on the agenda.

3. To help us provide a better estimate of the number of consultants and SLA staff we would involve in the project team, please provide workforce counts (distinguishing fulltime from temporary workers) in the following type of format:

Zone Office	Licensing	Wholesale	Enforcement	Legal	Hearings
Albany	22 FT 4 Temp	5	10	8	2
Buffalo	9	0	8	2	4
Syracuse	1	0	3	0	1
New York City	29 FT 4 Temp	0	17	14	10

4. Does the Authority intend to list the mandatory requirements from the current ABC statute in any eventual RFP, or would that be a discovery task in the project itself?
 - a. The SLA/ABC would have requirements associated with the current ABC law and would anticipate the requirements would be established prior to the release of the RFP.

5. Does the Authority intend to provide additional current audit findings (beyond the one about data identification/classification) during the RFI process, i.e. the ones that might impact process requirements?
 - a. The Office of the State Comptroller publishes all of their audit reports on the web at <http://www.osc.state.ny.us/audits/auditAgencyList.htm#State%20Liquor%20Authority>. The results of the network security audit are confidential due to the nature of the report and the findings. The requirements would be derived from the policies that have been established by the Office of Cyber Security and Critical Infrastructure and can

be found on the web at <http://www.cscic.state.ny.us/lib/policies/> or by the CIO/OFT at <http://www.cio.ny.gov/ITgovernance.htm>.

6. Based on the list of questions we discussed, it seems you have quite a bit of questions surrounding the use of a COTS system. Is this because you are already leaning this way instead of exploring creation of a customized system?
 - a. New York State has decided the solicitation for the statewide e-Licensing will be a COTS solution.
7. Have you ever looked into the use of Business Process Mgmt tools that include workflow engines? If so, which ones? Also, if so, what was your feedback?
 - a. The SLA/ABC has not explored the use of workflow engines.
8. Based on the session, did you decide on one or two procurements?
 - a. The SLA/ABC has not made a decision on one or two procurements but will be making the decision after reviewing all of the outputs from the RFI.
9. What is your overall budget?
 - a. The Governor's proposed budget seeks \$2.4 million in the proposed State Liquor Authority budget for 2010-2011. Some portion of this money is intended to be used for the procurement of services, but any use of the funds is subject to the approval of an overall ABC implementation plan by the Division of the Budget. Further, the new funding – which is for the 2010-11 fiscal year -- has not yet been approved by the State Legislature.
10. Do you anticipate carving out the scope so that your stakeholders are clear on what they are getting when?
 - a. The SLA/ABC values the input from all of its stakeholders and understands there is a need to continue the dialogue with the stakeholders so that they are able to express their needs and have a clear understanding of what is in scope and what is not included in the scope of the project. It is too early in the process to make that determination.
11. Has the project been funded? If yes, can you disclose the amount of funding that has been allocated and/or the overall project budget? If no, do you have an expected date that the project will be funded?
 - a. The Governor's proposed budget seeks \$2.4 million in the proposed State Liquor Authority budget for 2010-2011. Some portion of this money is intended to be used for the procurement of services, but any use of the funds is subject to the approval of an overall ABC implementation plan by the Division of the Budget. Further, the new funding – which is for the 2010-11 fiscal year -- has not yet been approved by the State Legislature.
12. Are funds being allocated to the overall E-Licensing project, or are the funds being allocated to the individual Agencies, or a combination of both?
 - a. The SLA/ABC anticipates funding will be allocated both centrally, and as part of individual agency budgets. Funding will be contingent on both enactment of the 2010 – 2011 budget and approval by the Division of the Budget.

13. Is there a mechanism for adjusting funding as you identify necessary changes to scope and/or regulatory changes?
 - a. A change management methodology would be described in the RFP.
14. As discussed, there is a substantial dependency between the SLA/ABC initiative and E-Licensing. When do you anticipate an RFP being issued for the E-Licensing project?
 - a. The five agencies are meeting weekly to gather and share requirement and are anticipating beginning the draft of an RFP in the coming weeks.
15. In projects where intensive process redesign is undertaken, rewrites of job descriptions are often needed for realignment. What measures have been taken to correspond with the labor unions that govern the civil service employees who might be affected by such changes? What role can the SLA expect the union to play in the planning of these necessary adjustments? This is important background information for prospective contractors.
 - a. The SLA/ABC has worked with Civil Service and recently introduced a Licensing Examiner Title Series. The SLA/ABC does not foresee the need to rewrite other job descriptions at this time.
16. Throughout the license application process, there is the need for the utilization of several external systems. (For example GIS software to determine location compliance with current regulations). I would request a list of these potential integrations necessary to complete the licensing process, enforcement, and compliance for each functional area. If this list cannot be compiled, then I would request the total number of sources a given examiner would use to complete the review of the application.
 - a. Some of this information will need to be identified. The SLA/ABC would benefit from interfaces with a variety of state agencies such as the Office of the State Comptroller, Department of Taxation and Finance, Department of Labor, Department of State, Department of Motor Vehicles and law enforcement.
17. Would it be possible to review the requirements for the other 4 agencies that will ultimately participate in the final solution selection to understand their needs as well.
 - a. The SLA/ABC has asked the other agencies to forward their requirements but is not in the position to share the other agencies requirements. The SLA/ABC is prepared to provide a sample set of requirements for the discussion on February 10, 2010.
18. On the website currently, there are numerous forms for support documentation for various license/permit classes. Do you consider these documents up to date, and a complete listing all documentation required to complete a given license process?
 - a. The SLA/ABC has been making changes to the forms and process on a daily basis so this is a moving target at this time. The SLA/ABC updates the information as it is changed.
19. With regards to license classes, would you consider the types to represent the most up to date classifications for the SLA?
 - a. The license classes are up to date at this time but could be changed once the processes are reviewed.

20. After review of the wholesale section of the SLA website, there are two applications that manage the price posting, and delinquent listing for wholesalers. Are these applications home grown, or external systems linked to the website. Please explain
 - a. These applications were developed using IBM Websphere application server (Java) that was custom developed but the information interfaces with the Informix database.
21. Do you currently utilize a password reset technology integrated with the website?
 - a. The SLA/ABC password interface is a self administered user interface that was custom developed by IBM in the IBM Websphere application server environment.
22. With regards to the total solution being considered, will the requirement include hardware, storage & back up? Or will the application leverage the existing infrastructure already in place with NYS OFT.
 - a. The SLA/ABC anticipates the CIO/OFT infrastructure would be leveraged when selecting an enterprise solution and any additional hardware, storage or back up would be identified in a gap analysis and included in the procurement.
23. Is it the intent of the e-licensing RFP, once it is released, to replace the existing licensing systems for ALL five agencies, with a single common solution?
 - a. Yes.
24. If the agencies do not agree on a common solution, will SLA still move ahead with its own individual solution, stemming from this RFI?
 - a. No, the agencies are in agreement to proceed with a common solution.