



***New York State Insurance Fund
Procurement Unit***

April 5, 2018

The following Q&A and updated Appendix S will serve as Amendment #2 to NYSIF's Request for Proposals (RFP) for Investigative Case Management Tool, bid number 2018-35-ADM. Material in this Amendment supersedes any contradictory material in the RFP.

Please note that the due date for the submission of bids **remains unchanged from Amendment #1.**

All bids are due 4/27/18, by 2:00 p.m.(eastern).

Sincerely,

A handwritten signature in black ink, appearing to be "V. Z. A.", is written below the word "Sincerely,".

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#	Question	NYSIF Response
1	Does the agency expect to need and procure a QA or IV&V vendor for this implementation?	No
2	Whether companies from Outside USA (like, from India or Canada) can apply for this?	There is not a prohibition on companies headquartered or based outside of the US, however a foreign country must: (1) Be able to provide evidence of responsibility and legal authority to do business with NY State and, (2) Not be a debarred business entity by NY State, (3) Vendors must consent to service of process, legal jurisdiction and choice of applicable laws in the State of New York, USA, and finally, (4) Security requirements may restrict storage and use of NYSIF data (in any form) to the United States.
3	Whether we need to come over there for meetings?	In person meetings are not required. Vendors are expected to travel for training only. See question 7 for locations.
4	Can we perform the tasks (related to RFP) outside USA? (like, from India or Canada)	Vendor must meet all requirements outlined in the RFP, no matter their location, and be subject to service of process, legal jurisdiction, and choice of applicable law in the State of New York, USA; NYSIF data security requirements may restrict storage and use of NYSIF data (in any form) to the United States.
5	Can we submit proposals via email?	Refer to Section 2.C. regarding proposal submissions.
6	Is there an incumbent for this engagement? If so, can you share the company name/ award notice #?	Not material to this RFP.
7	Can you specify the exact location where services will be performed?	The NYSIF offices are listed on our website at http://ww3.nysif.com/Home/FooterPages/Column1/ContactNYSIF . Investigators will access the installed software from any and all listed locations. No IT services need be provided onsite, and onsite IT services by vendors is discouraged unless absolutely necessary. Onsite training will be provided at 199 Church Street, New York, NY and at a NYSIF office to be determined in Albany, NY area.
8	Given the size, duration, and complexity to procure a modern investigative case management tool that can be customized to meet the NYSIF's evolving needs, does NYSIF plan to engage an Independent Verification and Validation / Quality Assurance (IV&V/QA) services vendor?	No
9	What is the expected yearly volume of case?	We approximate from 250 to 350 new cases per year, and 150 to 300 fraud tips per year.
10	Who is ultimately responsible for opening a case: investigators/auditors/analysts/administrative support staff?	Cases can be submitted for full investigation by either business staff, investigators, auditors or analysts; opening is approved by managers. Support staff currently enters data into our systems to open a case.
11	How many case categories and associated workflows (Section 4.A.2.g,h) are expected to include in the Day 1 system?	All examples listed in the RFP at 4.A.2.h are expected to be delivered.
12	Is there any need for approval from multiple levels for some case categories (Section 4.A.2.g) to mark a case resolved?	No, approval may be granted by 1st level management. Higher level management may review and direct reversal of manager decision.
13	How many existing company systems does purchased case system (Section 4.A.7.b) need to integrate to? What type of integration capabilities are available in existing company systems?	See Section 4 6.b of RFP for data retrieval from existing in-house Policy and Claims systems. Cloud System with some data integration from policy and claims systems.
14	What type of files are expected as attachment other than video (Section 4.E.1.b)? What is the general size for large files associated to a case?	Ordinary office files in Word, Excel, or PDF format. Other file types in less frequent use include JPG, MP3, WMV. File size cannot be specified, bidders should state any case file limitations of their product/service.
15	Is there an available shared site to store large files (Section 4.E.1.b) or the purchased case system needs to implement a new shared site?	Currently have Office 365 SharePoint.

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16	Will there be other files such as video associated with historical case data (Section 4.A.7.a)? If yes, what is expected size?	No other file types in the historical data. The historical data is all structured data. The structured data consists of approximately 273 fields of field type CHAR/VARCHAR (various lengths), 125 fields of field type DATE, 1 field type LONG RAW, and 253 fields of field type NUMBER (various lengths, precisions). The historical data contains approximately 3500 cases with a total size of 109Mb, with 9Mb for FileMaker and 100Mb for Oracle DB.
17	What type of capabilities are required for design and make available standard memos, letters (Section 4.E.1.d)? Who will have capability to design?	The requirement of Section 4.E.1.d is not mandatory. NYSIF has Office 365 applications available to all staff. This section contemplates the capability to merge structured data from the case system into Word memos or letters, and attachment of unstructured data such as .pdf files to such memos/letters.
18	Will fraud referral form be exposed to publicly available web site to open a case automatically (Section 4.A.4, Section 4.E.2)?	Section 4.a.4 describes both an internal process for business staff to refer to the investigations Division a suspected fraud case which would open a case, subject to management approval, and an external public facing form for fraud tips to be submitted by the public. Public tips will not automatically open a full investigation but it is contemplated that internal investigative staff will determine whether to open a full investigation, or to take other preliminary review and assessment based on information from the public.
19	What is the expectation for ongoing configuration support in terms of timing and activities (Section 4.11.b)?	Refer to 4.C 2.- Describe how your solution provides software upgrades and support;
20	Please clarify h.1 - Allow investigators to work off-line. Is it just videos and photos or full system access? Please clarify what capabilities need to be included in scope	Full system access to record activities and store evidence for later upload to servers upon returning to a NYSIF office or other secure site.
21	Please clarify 5.f - Track payments, restitution, savings, etc. What is the intended system of record and issuance of these payments? Are you advocating integration to this application or replication of functionality or visibility into?	Savings and payments received are entered manually by staff. No integration with existing systems is requested for these functions.
22	Is there a triage algorithm to indicate level of risk with each case that is referred?	No.
23	Will the dollar amount paid to a providers be available from the claims payment system to determine magnitude of potential fraud?	Yes, Claims System can provide payment data, along with the actuary's determination of reserves necessary to support the claim.
24	Could you describe the current technology, where the data will be converted from?	FileMaker Pro and Fat Client with Oracle DB backend
25	Will you consider a software subscription versus a perpetual license?	Yes, perpetual or SaaS.
26	Appendix E - Please confirm if vendors who have completed the VRQ with NYS OSC online are in compliance and submit the online certification verification in lieu of completing Appendix E.	Please submit a copy OSC VRQ and vendor ID number with your proposal.
27	Section 4.4 - Is NYSIF requiring a public-facing portal? Would NYSIF consider a mobile app for external users to download and then use to provide referral information?	See the answer to number 19 above. A mobile app function would be considered as a desirable function under Section 4.E.2.
28	Section 4.2.L - Could this functionality be handled within a mobile device? Using a mobile device, what types of device platforms would investigators use (Android, iOS, Windows)?	Yes. Currently NYSIF issues out to staff both Android & IOS.

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29	Section 4.7.b -Please provide more information about the information needed from the outside systems like number of interfaces to outside systems or an estimate of the number if possible. Also, if the need is for bi-directional data flow or one way? Additionally, will the information for tracking payments, restitution and savings attributed to investigators work on cases be in the investigative system or expected to be dynamically pulled from outside systems? Will there be a need to search outside databases for information on subjects?	The RFP Section 4.7.b provides the necessary information regarding interfaces to other systems. Flow of information is one-way into the system to be purchased and installed. Data on restitution payments, savings and restitution is a manual system with staff reviewing bank lock-box records and other business records and manually inputting the information into the case system. There is no requirement to search outside databases.
30	Section 4.2.b - For consistent training and to ensure proper documentation, a case management capture page would typically be standardized. Please provide examples and the rationale behind the requirement for the 'ability to re-arrange the look of this page.' For example, does this refer to the user having the ability to translate the case management page to another language, etc.? Or is this referencing the ability of the solution to create a dashboard that is configured to match their work preferences?	Section 4.2.b refers to the capability for a user to configure a dashboard to match their work preferences within standardized parameters to be decided by management. No language translation of user page views is required.
31	Section 4 - What vendors if any, provided demonstrations to inform or were part of the process to develop the requirements of this RFP? Will the implementation of any other NYSIF internal systems (e.g. CRM) impact this project timeline? What is the preferred or expected project timeline to implement the investigative case management tool?	Not material to this RFP. No, there is nothing expected that would impact this. RFP Section 4.A.11 requires the bidders to propose the configuration and implementation schedule.
32	Is there a preference for an on-premises, or cloud-based solution? a. If on-prem, are multiple environments required (development, test, production)? b. If on-prem, will the proposer provide all hardware required? c. If no, we can provide required hardware. Please respond with your current server and desktop specifications so we can quote appropriate upgrades.	No preference. A. Yes B. Yes C. N/A
33	Is there a preference for perpetual licensing, subscription, or SaaS (software as a service)?	No preference.
34	Is there an existing ECM of document management system in place? a. How is content currently stored? (shared drives, local folders, Google Drive, etc.) b. Do you currently have any workflows or automated business processes? i. If so, please provide a typical example along with estimated number of total workflows. c. Do you currently use any electronic forms? d. If so, please provide a typical example along with estimated number of total forms.	A. SharePoint, Server Shares, and Inhouse Document storage. B. No current workflows or automated processes exist. C. We currently use fillable .pdf for case referrals and case closings. D. See attached samples.
35	Has the agency already considered any other systems? If so, which? Have you seen demonstrations?	No.
36	Do you have a vision/road map? Describe the overall vision for the product. Provide future road map documentation for the next five (5) years.	NYSIF does not have a vision/ road map. Refer to Section 4.D for vision/road map requirements.

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37	<p>General Information, Paragraph C: Our software is licensed by the features included with each user. For the purpose of this RFP:</p> <p>a. How many full users are required? (full repository access: scan, add, edit / version documents, build forms / workflows, participate in workflows, admin. system)</p> <p>b. How many community users are required? (read only repository access and start / participation in forms processes. For external users only)</p> <p>c. How many forms participants are required? (unlimited submission and participation in forms processes, read-only access to repository)</p> <p>d. How many process users are required? (unlimited development of forms, workflows, reports, participation in processes, read-only access to repository)</p>	<p>As set forth in the RFP 4.A.8, we anticipate 30 active investigators/auditors/ analysts, seven (7) administrative staff, 10 managers, and 10 IT staff as full access users to the system. We expect 50 - 75 internal users would have read-only access to case status and case investigator assignment fields only.</p>
38	<p>General Information, Paragraph C: Our software offers portals for non-authenticated users.</p> <p>a. Public Portal: This option allows read-only access to the repository for anonymous public users. Please indicate your preference with regards to a public portal, along with estimated number of concurrent users and/or monthly submissions.</p> <p>b. Forms Portal: This option allows unlimited anonymous forms submissions by non-licensed public users. Please indicate your preference with regards to the forms portal option, along with estimated monthly submissions.</p>	<p>We would not provide Public Portal access (as defined by this question). The RFP section 4.A.,4 does require a Forms Portal as defined by this question for members of the public to submit fraud tips to NYSIF for investigation. See answer 18, above.</p>
39	<p>Technical Specifications, Part 7. Data Migration: Can you provide the make, model, and version of system that we will be working with?</p>	<p>FileMaker Pro System and Fat Client with Oracle DB backend.</p>
40	<p>Technical Specifications, Part 7. Data Migration: If the current system is utilizing a database, what platform is it on? (SQL, Oracle, etc.)</p> <p>a. Is there backend access to the database, or do we have to do an export through the current system?</p>	<p>FileMaker Pro System and Fat Client with Oracle DB backend.</p>
41	<p>Technical Specifications, Part 7. Data Migration: Do you have a set number of document types or metadata categories to be converted?</p>	<p>Refer to question 16.</p>
42	<p>Technical Specifications, Part 7. Data Migration: Do you need documents versions or annotations carried over to new system?</p>	<p>No.</p>
43	<p>Technical Specifications, Part 7. Data Migration: Will any applications need to be integrated? Which applications and in what ways?</p>	<p>Pulling Oracle Data from policy and claims database.</p>
44	<p>Technical Specifications, Part 7. Data Migration: What document types will be stored? Are metadata templates required?</p>	<p>Ordinary office files in Word, Excel, or PDF format. Other file types in less frequent use include JPG, MP3, WMV. No particular metadata template is required.</p>

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45	<p>Technical Specifications, Part 7. Data Migration: Will there be any back scanning needed for this project?</p> <p>a. Would you prefer to work with a scanning partner or scan yourselves?</p> <p>b. What are your scanner needs or required specifications?</p> <p>c. Estimate page, box, or file cabinet count if you desire scanning services.</p> <p>i. Document size</p> <p>ii. Condition (staple, paperclip, tape)</p> <p>d. What file format will the images be saved in?</p> <p>e. Will the documents be captured in black & white, grayscale, or color?</p> <p>f. Will the documents be scanned in simplex or duplex? If duplex, will the blank pages, if any, need to be deleted?</p> <p>g. Will large format plans require raised seals to be inked?</p> <p>h. Will documents be destroyed after being scanned?</p> <p>i. Can barcode stickers be placed on the documents?</p>	No, scanning issues are not material to this bid.
46	<p>Technical Specifications, Part 3 Configurable Workflow: Do you have any sample forms or processes you can provide?</p> <p>a. Current paper or eform and a description or diagram of the workflow behind it.</p> <p>b. We can also demonstrate how we would automate this process using Laserfiche if desired.</p>	No.
47	<p>General Information, Part E Due Date: What is your policy if there is shipping issue?</p> <p>a. If the shipping company delays delivery of the proposal, how would this be handled?</p> <p>b. If there is an issue with shipping, can we send a duplicate copy while the original is in transit?</p>	Refer to Section 2.C. regarding proposal submissions.
48	<p>Section A.2.i: Is the expectation that case information can be downloaded to a mobile device, updated "offline" and then synchronized with the online system?</p>	Work Off-line refers to working in the field not connected to any network. Investigators are equipped with Android smartphones, and some managers have iOS smartphones. Investigators have Windows laptops with VPN capabilities to securely access NYSIF systems. Investigators need to capture data when not connected to any network, and then be able to upload that information upon acquiring a network connection.
49	<p>Section A.3.a: Can you please explain the requirement "case status change based on field completion"?</p>	For example, if a workflow is established for a case, and the investigator completes all assigned tasks, the case status could change from incomplete to complete. This example is for illustrative purposes only.
50	<p>Section A.3.a: Can you please explain the requirement "case view reporting"?</p>	RFP Section 4.A.3 is hereby modified to delete the requirement for "case view reporting."
51	<p>Section A.3.a: Can you please explain the requirement "work queues to be completed for investigators / auditors"?</p>	Work queues are tasks to be completed by investigators/analysts/auditors for a case. In some cases analysts/auditors are supporting the work of multiple investigators. The system should display/report the tasks in the queues assigned to these support staff in the investigators view, as well in the auditor/analyst view of their own assigned work.
52	<p>Section A.3.b: From the reporting requirement "Overdue tasks by external partners" - who are external partners, and are they assigned to case?</p>	Investigative support is provided to NYSIF by the Department of Financial Services, the Workers Compensation Fraud Inspector General, law enforcement agency and prosecutors. This refers to an agreed task to be performed by these partners. Investigators will input the date promised by the partner for the task to be completed and then manually note when the task is completed by the partner.
53	<p>Section: A.5.e: There are references to payments, restitution, savings. Will the case track loss or potential loss for the case?</p>	Estimated potential loss will be entered either by the internal business referrer, or by the investigator. Savings achieved and any restitution payments received at the conclusion of the case are entered manually by staff.

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54	Section A.5.f: Could you please explain the source system technology from which data needs to be migrated from? Is it a vendor platform and would we get access to the data model?	FileMaker Pro System and Fat Client with Oracle DB backend. Yes, the Oracle data schema can be provided.
55	Section A.7.a: Can you please detail the technology platform of the systems with which integration is desired? Is this a vendor platform? Does the solution offer any integration mechanisms such as web services?	In house systems with Oracle DB Backend. No No, will need to pull data directly from Oracle DB.
56	Section A.7.b: Can you please let us know the name(s) of the "existing company system" from which data will ingested into the proposed case solution? Do you have any workflow that explains the integration?	DCI Fat Client system with Oracle DB Backend and FileMaker Pro system. This would be an export\import process.
57	Section A.9: Could you please explain the difference between "internal customers" and "external customers"? Are these counted as users of the solution?	Internal customers are the business staff and management who refer cases for investigation and support our investigations. External customers are stakeholders which include the Department of Financial Services, the Workers Compensation Fraud Inspector General, law enforcement agency and prosecutors.
58	Section C.3: Will NYSIF accept a vendor hosted solution or is on-premise desired?	Refer to question 33.
59	Could you please help us let us know from where we can obtain the certificate format for "A copy of Bidder's certification to do business in New York State"?	Information regarding how to obtain NYS certification can be found on the Department of States website: https://www.dos.ny.gov/corps/buscorp.html
60	Section 4.A.2.e, With regard to "The system must provide an audit log that records changes to documents saved to the system", would version control of the documents be sufficient to address this requirement? If not, what are you envisioning?	If the version control shows the user, date & time.
61	Section 4.A.2.l, Does "work off-line" mean out of the office but still on the network? What functionality would be required for working off-line?	Refer to question 48.
62	Section 4.A.7.a, Is it possible to obtain a sample batch of data that will need to be converted?	No, as it is confidential.
63	Section 4.A.11.b, Please define "ongoing configuration support".	Refer to question 19.
64	Section 4.C.5, There is mention that technical support availability is to be 24/7, 365 days a year, is it the State's preference to have a SAAS solution?	Yes, tech support availability is to be 24/7, 365. There is no preference to a SAAS solution.
65	Section 4.c and 4.f, Is the NYSIF considering both on premise and hosted solutions?	No preference.
66	Section 1.C, "10 IT staff with full administrative access": Will one or all ten IT staff members be licensed to update workflow rules?	All 10 IT staff members to be licensed, refer to Section 1.C of RFP.
67	Section 4.A.2.a.i, "A case activity page with list of open cases" Please provide examples of case activities to be included in this list.	RFP 4.A.2.a.i is self-explanatory
68	Section 4.A.2.b, "The user must have the ability to re-arrange the look of this page to fit their own work preferences": Please provide examples of page elements which could be arranged.	RFP 4.A.2.a.i is self-explanatory
69	Section 4.A.2.b, "The user must have the ability to re-arrange the look of this page to fit their own work preferences;": Please confirm you want the end-user to be able change the page layout rather than a System Administrator.	It is not mandatory that the user have the ability to change the page layout, system administrators ability is sufficient.
70	Section 4.A.2.b, "The user must have the ability to re-arrange the look of this page to fit their own work preferences;": Is the "case management page" specific to a single case with the layout tied to the case category?	Yes.
71	Section 4.A.2.e, "The system must provide an audit log that records changes to documents saved to the system;": We provide an audit log of each update to a document. Is it a mandatory requirement to record each before and after textual and formatting change to a document?	No, it is not mandatory to record each before and after textual and formatting change to a document.
72	Section 4.A.2.f, "Link case file, link files to closed cases, and search and identify links to other cases;": Please describe your concept of a "case file".	See RFP Section 4.A.2.

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#	Question	NYSIF Response
73	Section 4.A.2.f, "Link case file, link files to closed cases, and search and identify links to other cases;": Do you wish to store many documents under a case and also allow each document to belong to multiple cases?	See RFP Section 4.A.2.e. It is not required that the system provide the sharing of documents between multiple cases.
74	Section 4.A.3.a, "The workflow must include case view reporting;": Is the functionality to record each time a user views a case?	RFP Section 4.A.3 is hereby modified to delete the requirement for "case view reporting."
75	Section 4.A.3.a "The workflow must include case view reporting": Will this include every case which appears in a user's search result list or a management/operational report?	RFP Section 4.A.3 is hereby modified to delete the requirement for "case view reporting."
76	Section 4.A.3.b, "Create work queues ... to be completed for investigators / auditors": We interpret a work queue as a list of items which require effort to complete. Is this a separate queue for each investigator/auditor or a team work queue with items shared amongst all team members?	Work queues are tasks to be completed by investigators/analysts/auditors for a case. In some cases analysts/auditors are supporting the work of multiple investigators. The system should display/report the tasks in the queues assigned to these support staff. Managers' queues would include cases that require assignment to investigators, along with ordinary management tasks.
77	Section, 4.A.5.a, "The system must also allow investigators to run reports on their own cases in the same areas;": Does the word "areas" mean the same types of reports as described above in the same requirement?	Yes.
78	Section 4.A.5.c, "Create and preserve internal and external reports prepared by investigators and auditors;": Please describe the difference between internal and external reports and provide an example of each type.	Internal reports are created for NYSIF personnel and external report would be given parties outside of NYSIF, such as law enforcements and DFS. Examples include case reports, memos, summaries, etc.
79	Section 4.A.5.d, "Produce customized reports by category, number, rate of referrals by region and case type, and individual team members work output;": Is this requirement to allow a trained user to produce these customized reports?	This requirement can be provided by a system administrator at a minimum. The capability of a trained user producing customized reports is not required.
80	Section 4.A.5.e, "Generate exception reports for overdue cases and tasks, including overdue tasks by external partners;": Will tasks be created and given to external partners to perform?	Some tasks are performed by law enforcement partners. The system should be able to record that the task was accepted by the partner, and when the task is completed by the partner. Law enforcement partners will not have task level/edit access to the system.
81	Section 4.A.5.f, "Track payments, restitution, savings attributed to the investigators work on cases, and other financial recoveries;": Please provide examples of "other financial recoveries".	Other financial recovery would be an adjustment to a current claimant/policy holder/provider's account that reduces an obligation of the agency to pay.
82	Section 4.A.5.f, "Track payments, restitution, savings attributed to the investigators work on cases, and other financial recoveries;": How do you determine a "savings"? Is this a post-collection analysis comparing the amount collected and the hours worked by investigators?	Savings is the estimate of the amount of wage replacement benefits and medical benefits no longer reserved to the claim as a result of a successful fraud investigation. Savings also refers to the value of the true premium owed by a policy holder who is found to have fraudulently obtained or maintained a policy from NYSIF. Savings is calculated at the conclusion of the case by the business staff, and does not include the hours worked by investigators.
83	Section 4.A.6.a, "Allow for system administrators to add/subtract users, configure team members case displays remotely;": How is this requirement to configure team members' case displays different from requirement 4.A.2.b?	Section 4.A.6.a describes management reports summarizing and displaying metrics of performance. Section 4.A.2.b refers to the page view of a case or of a list of cases/tasks assigned to the investigator/analyst/auditor.
84	Section 4.A.7.a, "Import historical case data. NYSIF estimates that data migration would included approximately 3,500 individual cases. Each case includes 60 to 80 fields of data stored per case;": Please describe the current software system and the repository used to store the case data.	Refer to Question 40.
85	Section 4.A.7.a, "Import historical case data. NYSIF estimates that data migration would included approximately 3,500 individual cases. Each case includes 60 to 80 fields of data stored per case;": Please provide a list of field names, data types, and an indication whether the field is required, optional, or required based on case category.	Refer to Question 16.
86	Section 4.A.7.b, "The vendor must separately offer and price an option, as outlined in the financial response, to integrate the purchased case system into existing company systems that would retrieve certain data from these other systems. Such data to be captured dynamically include healthcare provider bills to the company, underwriting accounting on bills and payments from policy holders, Workers Compensation Board hearing schedule on the case, and dynamic updates on payments made to claimants;": What is the frequency and transmission method for each of the four interfaces?	Dynamic retrieval using an API or a web service.

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87	Section 4.A.7.b, How do you define “dynamic updates” and which system would be updated?	The vendor’s case management system would update certain fields within an investigator’s case by interrogating and reporting those fields maintained in existing systems at the agency. See examples in RFP section 4.A.7.b.
88	Section 4.A.8, “On-site user training must be provided.”: Which training site(s) will be used?	Training sessions will be conducted at our 199 Church Street, New York, NY location, and at one of our agency buildings in Albany, NY.
89	Section 4.A.9, “The case access and permissions must be able to allow multiple permissions access to the field level, whereas supervisors/managers have full access to every field, internal customers could have access to only certain fields, including attached electronic documents. Supervisors must have ability to grant and deny access based on the user’s role.”: Are “internal customers” considered the sixty business staff members identified in 1.c?	Yes, along with Executive management.
90	Section 4.A.9, “The case access and permissions must be able to allow multiple permissions access to the field level, whereas supervisors/managers have full access to every field, internal customers could have access to only certain fields, including attached electronic documents. Supervisors must have ability to grant and deny access based on the user’s role.”: Are “supervisors” considered the ten managers identified in 1.c?	Yes.
91	Section 4.A.9, “The case access and permissions must be able to allow multiple permissions access to the field level, whereas supervisors/managers have full access to every field, internal customers could have access to only certain fields, including attached electronic documents. Supervisors must have ability to grant and deny access based on the user’s role.”: Is it a mandatory requirement that investigators, auditors, and analysts are able to see fields of cases which they are not assigned?	Section 4.A.9 requires configurable access permissions.
92	Section 4.A.9, “The case access and permissions must be able to allow multiple permissions access to the field level, whereas supervisors/managers have full access to every field, internal customers could have access to only certain fields, including attached electronic documents. Supervisors must have ability to grant and deny access based on the user’s role.” Is it a mandatory requirement that investigators, auditors, and analysts are not able to know some cases exist (i.e. cases won’t appear in search results or reports based on the end-user)?	No.
93	Section 4.A.10, “Vendor MUST be able to provide configurable notifications that will advise system users and internal and external customers through external communications including but not limited to: Microsoft Word, or pdf of the status of the case.”: Is it a mandatory requirement that external customers receive external communications via electronic email?	No.
94	Section 4.B, “Please specify for each Mandatory Requirement below if the functionality: 1) currently exists in your out-of-the-box solution, 2) will be customized based on NYSIF’s requirements or 3) will be provided by a partnership with another entity (subcontractor).”: Our solution is highly configurable to meet specific requirements out-of-the-box without requiring software updates and a re-compilation. Do you also consider “(2) will be customized” as a need to update the software to meet an NYSIF requirement?	No.
95	Section 4.E.1.d, “Design and make available standard memos, letters, reports, prosecutor referrals”: are these templates for generating outgoing documents?	Yes.
96	Section 4.E.2.a, “Referral form should be capable of drop-down pre-filled options, and free-form text entry”: Please describe “drop-down pre-filled options”. We are not sure if this refers to a drop-down listbox / picklist control.	Yes, drop down pick list that is specified by the business.

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97	Section 4.E.2.b, "Ability for an incoming email from a citizen reporting fraud to automatically create a new tip matter within the case management system.": Would tips arrive at a specific email address know by the public?	Yes.
98	Section 4.E.2.b, "Ability for an incoming email from a citizen reporting fraud to automatically create a new tip matter within the case management system.": Would the email message be unstructured or would a fraud tip come from a structured form on the NYSIF website?	Refer to Section 4.E.2.B of RFP.
99	Section 4, Sub-Section 2 – Case Management: What is the priority of the requirement for each user to define their own home page? Would it be sufficient to allow definition by user groups?	RFP section 4.a.2.b states a mandatory requirement.
100	Section 4, Sub-Section 2 – Case Management: When changing the category of a case, would the revised categorization follow a new workflow?	Yes
101	Section 4, Sub-Section 2 – Case Management: What is the priority of the requirement to work off-line?	Section 4.A.2.I states a mandatory requirement.
102	Section 4, Sub-Section 4 – Fraud Referrals: How many categories and locations are there in the entire system?	See RFP section 4.a.2.h for examples of common case categories. NYSIF office locations are listed on our webpage at http://ww3.nysif.com/Home/FooterPages/Column1/ContactNYSIF
103	Section 4, Sub-Section 4 – Fraud Referrals: How are investigators assigned to a category and/or location? Is there a one-to-one or one-to-many relationship?	The assignment of cases must be configurable by the agency. In most instances they are generalists. An estimated four investigators specialize in policy fraud cases.
104	Section 4, Sub-Section 5 – Reports: Can the state further describe the contents of an Internal Report vs. an External Report? Who would use the External Reports?	Refer to question 78.
105	Section 4, Sub-Section 6 – System Administration: Is there separate system that tracks payments, restitutions and saving for items that can become part of the case? Or is the requirement that the case management system would contain this information?	The case management system must provide for manual entry of a record of payments, restitutions and savings. See answer number 53 above.
106	Section 4, Sub-Section 7 – Data Migration: Can you provide more details on the type of fields necessary for data migration? Would existing documents, such as supporting photos, documents, video also need to be migrated? If so, what is the volume?	Refer to question 16.
107	Section 4, Sub-Section 7 – Data Migration: What other systems would require integration and how many may need to be integrated?	See section 4.6.b of RFP regarding active directory. See answers 16 and 86 for migrating historical data and dynamic integration.
108	Section 4, Sub-Section 9 – Case Access and Permissions: Are the internal users – Investigators? Supervisors? Etc.?	Refer to Section 1.C for user breakdown.
109	Section 4, Section C. Maintenance and Support: Does the State want this hosted in a vendor Data Center? Or are they referring to a Recovery Plan if something happens in their data center?	Refer to question 33. If on premises NYSIF will provide alternate recovery site, if hosted vendor needs to provide.
110	Section 4, Section C. Maintenance and Support : Does the state expect the Case Management System to operate 24/7? Or is the state asking for 24/7 support?	Refer to question 64.
111	Section 4, Technical Specifications, Mandatory Requirements. Item 10. Notifications: Would NYSIF please provide a use case for the configuration of an external notification?	An example of a use case is a generated notice to a law enforcement partner that the case investigation is complete, or notice that requested documents have been shipped, or notice that evidence has been received in our office. These examples are illustrative and not all inclusive.
112	Section 4, Technical Specifications, Mandatory Requirements, Item 2.1, audit logs: What information is audited when modifying or uploading attachments to a case document?	The date of modification and the user who made the modification.

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113	Section 4, Technical Specifications, Mandatory Requirements, Item 5, Reporting and Management Controls, f. track payments, restitutions and financial recoveries: Does NYSIF intend to interface with a claims/payer/financial system to acquire this information? If no, how does the information get the system? If yes, can NYSIF define that system?	This would be a data pull for the policy and/or claims system via the Oracle DB.
114	Section 4, Technical Specifications, Mandatory Requirements, Item 7. Data Migration: Can NYSIF please provide details on the records content for data migration? Specifically, does the data migration include any migration of documents currently attached to a case file or is limited to only the 60 to 80 data fields specified in the RFP?	Refer to question 16.
115	Exhibit A, Encryption, 4.0, Information Statement, 4.2, 1c Data at Rest; Appendix C, Minimum Browser Support: Can NYSIF define the Mobile Device Make/Brand that will be used in the field for offline and video capture?	Investigators are equipped with Android smartphones, and some managers have iOS smartphones. Investigators have Windows laptops with VPN capabilities to securely access NYSIF systems.
116	Does NYSIF prefer to host the case document management software in their datacenter/environment? If so, will NYSIF acquire all software licenses and hardware, etc.?	Refer to question 33.
117	Is the New York State Insurance Fund requesting pricing for a premise based on Investigative Case Management Tool or a cloud based Investigative Case Management Tool	Refer to question 33.
118	What is your ERP?	Various internal business systems with Oracle Financials.
119	What Line of Business application does the NYSIF's Department of Confidential Investigations use?	Refer to question 56.
120	Section 4.A.2: What are the different channels - online and offline, through which cases can be created	See RFP section 4.a.4. and 4.E.2
121	Section 4.A.2.g: How divergent are the workflows and tasks for various case categories?	We cannot provide a quantitative answer. Different case categories have some overlap in the types of tasks to be completed and many unique tasks based on the type of case.
122	Section 4.A.2.h: Should there be functionalities in the system for NYSIF Team to create new workflows going forward without the support of a vendor?	See RFP section 4.A.11
123	Section 4.A.3.b: What is the existing process followed to create work queues of referred cases?	There is no existing process.
124	Section 4.A.4: Which are the different mediums through which an external case referral can be made?	Fraud tips are received via hotline calls, a report form on our webpage, letters and emails.
125	Section 4.A.5.:f: What are the different steps involved in delivering payments, restitution, savings attributed to the investigators work on cases, and other financial recoveries? What are the different external systems involved in these processes?	These functions are not part of this RFP. See answer to number 54 above.
126	Section 4.A.7.a and Section 4.A.2.e: Approximately, what is the volume of the historical data, including - emails, attachments, images, videos etc, that needs to be migrated from legacy systems? Going forward, what will be the approximate delta volume of the case data that needs to be stored in the system?	Refer to question 16. We open approximately 250 to 350 new cases per year, and receive approximately 150 to 300 fraud tips per year.
127	Section 4.A.7.b: What are the different applications/databases to which the system needs to be integrated?	Refer to question 43.

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128	<p>We received this bid over from IBM, we are an IBM Business Partner. We have no prior relationship with the State of New York, but have worked with the State of Michigan on ECM solutions and we specialize in IBM Case Manager. Before I send this over to my engineers and invest time in the response, I wanted to make sure that I understood the Procurement process for new vendors. As the bid was not directly sent to us, would we be able to bid as the contract owner and have IBM as the partner providing the "Software" but not the configuration services?</p>	<p>All vendors who meet the requirements outlined in the RFP are encouraged to bid. Refer to Section 4.I regarding subcontracting requirements.</p>
129	<p>(Name redacted) would be proposing a solution that utilizes IBM Case manager (https://www.ibm.com/us-en/marketplace/case-manager). The Solution that we build would need to be customized and configured for NYSIF's specific needs. It is not an a software as a services that is already set up for this particular use case. It can be deployed on the cloud or on premise. It is our understanding the State of NY is standardizing on IBM Case Manager and FileNet. The ask I have is to clarify with the business that this type of solution would be considered a viable option prior to (Name redacted) spending the considerable amount of time and effort it will take for us to complete this RFP. I would hate to waste our time and your time answering our technical questions and reviewing the response if the type of solution we are offering is outside of what the business is actually requesting with this RFP.</p>	<p>NYSIF does not require the solution to utilize IBM Case manager and FileNet. Please refer to the RFP for our requirements under this service</p>
130	<p>Are bidders allowed to provide any exceptions to the RFP requirements? For example, there are requirements that would not apply to cloud-based solutions (and apply more to packaged software in certain requirements) or, in some cases, the Cloud Service Provider (CSP) does not fully meet requirements explicitly as written. How are bidders to include these exceptions or assumptions, with explanation, in their proposal for NYSIF's review and consideration without being non-compliant with the RFP?</p>	<p>All comments and limitations should be submitted in accordance to Section 2.B.6 of the RFP.</p>
131	<p>"Appendix C, Contract Provisions 30. Confidentiality Clause The contractor will not divulge, disclose or furnish to any other party the information or processes utilized at NYSIF, disclosed to the contractor or developed by the contractor or another during the course of the project unless such information is in the public domain. Any request for information from third parties shall be reported to NYSIF in writing within 24 hours."</p> <p>We request that NYSIF change this requirement to be as follows: If either NYSIF or Cloud Service Provider (CSP) is compelled by law to disclose confidential information of the other party, it shall provide the other party with prompt prior notice of such compelled disclosure (to the extent legally permitted) and reasonable assistance, at the other party's cost, if the other party wishes to contest the disclosure.</p>	<p>This change is acceptable to NYSIF.</p>

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#	Question	NYSIF Response
132	<p>"Appendix B1 9. SOURCE CODE ESCROW FOR LICENSED PRODUCT If Source Code or Source Code escrow is offered by either Contractor or Product manufacturer or developer to any other commercial customers, Contractor shall either: (i) provide Licensee with the Source Code for the Product; or (ii) place the Source Code in a third party escrow arrangement with a designated escrow agent who shall be named and identified to the State, and who shall be directed to release the deposited Source Code in accordance with a standard escrow agreement acceptable to the State; or (iii) will certify to the State that the Product manufacturer/developer has named the State, acting by and through the Authorized User, and the Licensee, as a named beneficiary of an established escrow arrangement with its designated escrow agent who shall be named and identified to the State and Licensee, and who shall be directed to release the deposited Source Code in accordance with the terms of escrow. Source Code, as well as any corrections or enhancements to such source code, shall be updated for each new release of the Product in the same manner as provided above and such updating of escrow shall be certified to the State in writing. Contractor shall identify the escrow agent upon commencement of the Contract term and shall certify annually that the escrow remains in effect in compliance with the terms of this paragraph. The State may release the Source Code to Licensees under this Contract who have licensed Product or obtained services, who may use such copy of the Source Code to maintain the Product."</p>	<p>If Source Code or Source Code escrow is not offered by either Contractor or Product manufacturer or developer to any other commercial customers, Appendix B1, Clause 9 is not applicable.</p>
132b	<p>(continued from 132a) We are providing a cloud-based SaaS/PaaS solution that will be configured to meet NYSIF's specific requirements. We are not creating any new Intellectual Property for NYSIF. NYSIF's data would be owned by NYSIF. Cloud Service Provider (CSP) would be responsible for maintaining access in terms of performance and availability to NYSIF's data. NYSIF would have access to its data and metadata, but not all of the CSP's PaaS and SaaS underlying solution source code. NYSIF has full rights to extract its data at any time during the subscription service. However, CSP does not typically offer full system source code because it is inapplicable to software delivered as a service subscription service. While it is possible to provide the source code in an escrow account for a configured solution, the source code would only be able to operate in the CSP's PaaS/SaaS environment. Therefore, can NYSIF please adjust this requirement accordingly?</p>	

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#	Question	NYSIF Response
133A	<p>"Appendix B13. AUDIT OF LICENSED PRODUCT USAGE</p> <p>Contractor shall have the right to periodically audit, no more than annually, at Contractor's expense, use of licensed Product at any sitewhere a copy of the Product resides provided that: (i) Contractor gives Licensee(s) at least thirty (30) days advance written notice, (ii) such audit is conducted during such party's normal business hours, (iii) the audit is conducted by an independent auditor chosen on mutual agreement of the parties. Contractor shall recommend a minimum of three (3) auditing/accounting firms from which the Licensee will select one (1). In no case shall the Business Software Alliance (BSA), Software Publishers Association (SPA), Software and Industry Information Association (SIIA) or Federation Against Software Theft (FAST) be used directly or indirectly to conduct audits, or be recommended by Contractor; (iv) Contractor and Licensee are each entitled to designate a representative who shall be entitled to participate, and who shall mutually agree on audit format, and simultaneously review all information obtained by the audit. Such representatives also shall be entitled to copies of all reports, data or information obtained from the audit; and (v) if the audit shows that such party is not in compliance, Licensee shall be required to purchase additional licenses or capacities necessary to bring it into compliance and shall pay for the unlicensed capacity at the NYS Net Price in effect at time of audit, or if none, then at the Contractor's U.S. Commercial list price. Once such additional licenses or capacities are purchased, Licensee shall be deemed to have been in compliance retroactively, and Licensee shall have no further liability of any kind for the unauthorized use of the software."</p>	<p>Appendix B1, Clause 3 refers to the Contractors right to audit NYSIF's usage of a Contractor's licensed product. Please refer to Appendix A, Clause 10 (Records) and Appendix C, Clause 17 (Right to Audit) regarding accepted audit standards.</p>
133B	<p>(Continued from 133A)</p> <p>We believe this is not applicable to cloud-based solutions that are being proposed. CSP's manage the SaaS and PaaS products and infrastructure on behalf of its customers. Therefore, can NYSIF please remove or adjust requirement for cloud-based solutions accordingly?</p>	

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#	Question	NYSIF Response
134A	<p>Appendix C 17. RIGHT TO AUDIT</p> <p>SAS 70 Reports: Production of Contractor SAS 70 Report(s), or SOC Reports shall not take the place of NYSIF's right under the Agreement to independently audit Contractor.</p> <p>As a multi-tenant Cloud Service Provider (CSP), we do not typically offer a Right to Audit clause as part of the base service offering. As a multi-tenant service, compartmentalization is virtual, not physical. Annual site visits can be arranged at NYSIF's expense, but in consideration of our other customers, random access cannot be permitted. We have third party auditors that inspect and review our security. We undergo annual audits for compliance with additional frameworks such as SSAE 16 SOC 1, SOC 2, SOC 3, ISO 27001, PCI-DSS Level 1, and FedRAMP. The results of these audits can be provided to NYSIF as desired under NDA. Is this acceptable to meeting NYSIF's requirements?</p>	<p>This is acceptable to NYSIF.</p>
135A	<p>Appendix C 29. INFORMATION SECURITY CLAUSE - In the event of a Breach of Security as defined in NY CLS Gen Bus §899-aa and NY CLS State Technology Law §208, or otherwise, involving NYSIF supplied Personal Information or Private Information from systems owned, operated, sub-contracted or otherwise routed through Contractor's systems or networks, Offeror shall notify NYSIF immediately, without unreasonable delay, pursuant to the NOTICE provision of this Agreement. "Breach of Security" shall mean the unauthorized acquisition or acquisition without valid authorization of computerized data that compromises the security, confidentiality, or integrity of personal information maintained by a business. "Personal Information" shall mean any information concerning a person which, because of name, number, mark or other identifier, can be used to identify such person. "Private Information" shall mean personal information in combination with any one or more of the following data elements, when either the personal information or the data information or the data element is not encrypted or encrypted with an encryption key that has also been acquired: (i) social security number; (ii) driver's license number or non-driver identification cards number; or (iii) account number, credit or debit card number, in combination with any required security code, access code, or password which would permit access to an individual's financial account.</p>	

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#	Question	NYSIF Response
135B	<p>(Continued from 135A)</p> <p>Additionally, due to the nature of the CSP's service, the CSP can only report actual breaches, not attempted, suspected, threatened, or foreseeable breaches. As a multitenant environment, an attempted breach against another tenant would not be reported to NYSIF.</p> <p>In the event of a security breach and if negotiated in the agreement, the CSP can notify NYSIF identified points of contact. The CSP cannot notify affected parties because the CSP does not view customer data. The CSP is responsible for maintaining access in terms of performance and availability to the data. The data is owned by the customer.</p> <p>As such, we would like to request the requirements for breach notifications should align with the existing CSP reporting requirements that also align with FedRAMP and request that NYSIF change this requirement to "within 24 hours of an incident".</p>	<p>No changes can be made to Appendix A.22 (Compliance with New York State Information Security Breach and Notification Act) or will be made to Appendix C. (Information Security Clause).</p>
135B	<p>(Continued from 135B)</p> <p>Additionally, Offeror undertakes to, solely at its own cost and expense, provide any requisite notices that either Contractor or NYSIF would have to provide pursuant to NY CLS Gen Bus §899-aa and NY CLS State Technology Law §208, or any other applicable statute, both on behalf of Contractor and on behalf of NYSIF. Offeror's notification shall include but not be limited to a description of the categories of information that were, or are reasonably believed, to have been acquired by a person without valid authorization, including specification of which of the elements of personal information and private information were, or are reasonably believed to have been, so acquired, or as otherwise provided for by applicable law.</p> <p>Appendix A 22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).</p>	

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#	Question	NYSIF Response
135C	<p>(Continued from 135B)The Cloud Service Provider (CSP) is a service provider and NYSIF would be one of hundreds of thousands of customers using the service. CSP can contractually commit to incident response reporting timeframes in a customer contract. One component driving the timeframes are the CSP's ability to communicate to a wide customer base in the event of an incident. In a multi-tenant cloud environment, the CSP could be reporting to thousands of customers if there is a security incident impacting multiple customers. CSPs utilize one incident response process for all customers. Utilizing one approach allows for scalability and ease of operations. Additionally, due to the nature of the CSP's service, the CSP can only report actual breaches, not attempted, suspected, threatened, or foreseeable breaches. As a multitenant environment, an attempted breach against another tenant would not be reported to NYSIF. In the event of a security breach and if negotiated in the agreement, the CSP can notify NYSIF identified points of contact. The CSP cannot notify affected parties because the CSP does not view customer data. The CSP is responsible for maintaining access in terms of performance and availability to the data. The data is owned by the customer. As such, we would like to request the requirements for breach notifications should align with the existing CSP reporting requirements that also align with FedRAMP and request that NYSIF change this requirement to "within 24 hours of an incident).</p>	
136A	<p>Appendix B1.7. CHANGES TO PRODUCT OR SERVICE OFFERINGS</p> <p>a. Product or Service Discontinuance Where Contractor is the Product Manufacturer/Developer, and Contractor publicly announces to all U.S. customers ("date of notice") that a Product is being withdrawn from the U.S. market or that maintenance service or technical support provided by Contractor ("withdrawn support") is no longer going to be offered, Contractor shall be required to: (i) notify NYSIF, each Licensee and each Authorized User then under contract for maintenance or technical support in writing of the intended discontinuance; and (ii) continue to offer Product or withdrawn support upon the Contract terms previously offered for the greater of: a) the best terms offered by Contractor to any other customer, or b) not less than twelve (12) months from the date of notice; and (iii) at Authorized User's option, provided that the Authorized User is under contract for maintenance on the date of notice, either: provide the Authorized User with a Product replacement or migration path with at least equivalent functionality at no additional charge to enable Authorized User to continue use and maintenance of the Product.</p> <p>In the event that the Contractor is not the Product Manufacturer, Contractor shall be required to: (i) provide the notice required under the paragraph above, to the entities described within five (5) business days of Contractor receiving notice from the Product Manufacturer, and (ii) include in such notice the period of time from the date of notice that the Product Manufacturer will continue to provide Product or withdraw support.</p>	

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#	Question	NYSIF Response
136B	<p>(Continued from 136A) The provisions of this subdivision (a) shall not apply or eliminate Contractor's obligations where withdrawn support is being provided by an independent Subcontractor. In the event that such Subcontractor ceases to provide service, Contractor shall be responsible for subcontracting such service, subject to state approval, to an alternate Subcontractor.</p> <p>b. Product or Service Re-Bundling In the event that Contractor is the Product manufacturer and publicly announces to all U.S. customers ("date of notice") that a Product or maintenance or technical support offering is being re-bundled in a different manner from the structure or licensing model of the prior U.S. commercial offering, Contractor shall be required to: (i) notify the State and each Authorized User in writing of the intended change; (ii) continue to provide Product or withdrawn support upon the same terms and conditions as previously offered on the then-current NYS Contract for the greater of: a) the best terms offered by Contractor to any other customer, or b) not less than twelve (12) months from the date of notice; and (iii) shall submit the proposed rebundling change to NYSIF for approval prior to its becoming effective for the remainder of the Contract term. The provisions of this section do not apply if the Contractor is not the Product manufacturer.</p>	<p>The provisions of this section do not apply if the Contractor is not the Product Manufacturer. Applicable procedures can be discussed during contract negotiations.</p>
136C	<p>(Continued from 136B) As a large, multi-tenant Cloud Service Provider (CSP), we have established processes and procedures for changing and updating its SaaS and PaaS offerings, including notifications to customers. We assume that those procedures would be what applies here and not the requirements set forth in this section? Not all CSP's manage and deliver their services the same way and these types of policies cannot be adapted or tailored to specific requirements set forth by the customer. Therefore, can NYSIF adjust this requirement accordingly?</p>	
137	<p>Appendix C.27 Disaster Event Notification</p> <p>Contractor will provide appropriate periodic updates of the recovery process as required by NYSIF. As a large, multi-tenant Cloud Service Provider (CSP), we have established processes and procedures for changing and updating its SaaS and PaaS offerings, including notifications to customers. We assume that those procedures would be what applies here and not the requirements set forth in this section? Not all CSP's manage and deliver their services the same way and these types of policies cannot be adapted or tailored to specific requirements set forth by the customer. Therefore, can NYSIF adjust this requirement accordingly?</p> <p>As a large, multi-tenant Cloud Service Provider (CSP), we have established processes and procedures for providing disaster notification and periodic updates to all of our customers, which are compliant with FedRAMP. We assume this meets NYSIF's requirements? Please confirm.</p>	<p>Contractor must demonstrate the existence of a Disaster Recovery Plan for an event that would cause the Contractor to initiate the Disaster Recovery Plan for its platform or operating systems.</p>

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#	Question	NYSIF Response
138	<p>9 27. EMPLOYEES, SUBCONTRACTORS AND AGENTS</p> <p>All employees, Subcontractors or agents performing work under the Contract must be trained staff or technicians who meet or exceed the professional, technical and training qualifications set forth in the Bid Specifications or the Bid Documents, whichever is more restrictive, and must comply with all security and administrative requirements of NYSIF. NYSIF reserves the right to conduct a security background check or otherwise approve any employee, Subcontractor or agent furnished by Contractor and to refuse access to or require replacement of any personnel for cause based on, including but not limited to, professional, technical or training qualifications, quality of work or change in security status or non-compliance with NYSIF's security or other requirements. Such approval shall not relieve the Contractor of the obligation to perform all work in compliance with the Contract terms. NYSIF reserves the right to reject and/or bar from the facility for cause any employee, Subcontractor, or agents of the Contractor We assume this only applies to contractor personnel that are performing the solution implementation services and not the Cloud Service Provider (CSP) personnel that are hosting the solution.</p> <p>For example, CSP engages the services of a background screening vendor to conduct background checks on employees at the time of hire in the United States.</p> <p>CSP also performs background investigations in certain foreign countries. The scope of these checks is subject to local laws in the jurisdictions in which the employee is hired. Can NYSIF please modify this requirement accordingly?</p>	Refer to Question 2. No changes will be made to this requirement.
139	Is there an incumbent for this engagement? If so, can you share the company name/ award notice #?	Not material to this RFP.
140	Can you specify the exact location where services will be performed?	Refer to question 8.
141	There is a requirement to allow for investigators to work off-line while in the field and upload data, including any videos or photos. What kind of devices investigators use to work in the field. Tablets or Mobile Phones? What kind of Mobile OS these devices use? Android/IOS/Windows? How may Investigators need access to offline data? All 30 of them or a subset?	All 30. Refer to question 115.
142	There is a requirement for a external Frauds Referral electronic intake form. Is it going to be exposed to external customers? How many users are anticipated? Does it need to be a self-service portal where users need to register or can it be an anonymous portal?	Section 4.A.4 describes both an internal process for business staff to refer to the investigations Division a suspected fraud case which would open a case, subject to management approval, and an external public facing form for fraud tips to be submitted by members of the public, similar to the form currently on our public facing website. No registration will be required for external customers, and the option for anonymous fraud tips is required. We receive approximately 150 to 300 fraud tips a year from external sources.
143	There are requirements to integrate with existing company systems. Can we get more information on the integration capabilities of these systems. Do they have APIs published for the new case management system to consume data? Are they going to be bidirectional integrations or just consuming data from these systems from Case Management system?	Refer to question 43.
144	'60 business staff who would access only as "read-only" to very limited data fields within the system'. Can we assume these users need to be authenticated?	Yes.

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#	Question	NYSIF Response
145	<p>'... consulting case to assist internal customers on a case, consulting case to assist external law enforcement and state agency partners on a case'.</p> <p>a. Can NYSIF expand on its interaction with external parties (law enforcement and state agencies) in case work?</p> <p>b. Do these external parties need access to the Case Management tool?</p>	<p>See answer number 52, above. It is not mandatory that external parties have access to the case management system. See RFP section 4.E.1.c for a desirable but not mandatory functionality.</p>
146	<p>Allow for investigators to work off-line while in the field and upload data, including any videos or photos'.</p> <p>a. To clarify, does this requirement apply to mobile devices, or only laptops?</p> <p>b. Does NYSIF have a standard for mobile devices? (i.e., Android, iOS, Windows, etc)</p>	<p>Refer to 115. The function can be satisfied utilizing either smartphones, or laptops or both.</p>
147	<p>'The system must include a configurable electronic intake capture form for both internal and external case referrals'.</p> <p>a. Can the NYSIF clarify who creates external case referrals?</p> <p>b. Does this requirement imply the use of a public portal or web site? If yes, does this need to be public, or authenticated users only?</p>	<p>See answer number 142, above.</p>
148	<p>'Generate exception reports for overdue cases and tasks, including overdue tasks by external partners'.</p> <p>Can NYSIF clarify the following:</p> <p>Are the external partners system users requiring logins? Meaning, do you envision external partners will have any workflow interaction with your system? Or do you only want to track the existence of tasks required of external partners?</p>	<p>No external partners will have access to the system, and therefore will not require logins. See answer 80, above</p>
149	<p>'NYSIF has established a goal of 30% MWBE participation for its contracts"</p> <p>Can it be clarified that this goal applies to professional services sub-contracting portion of potential contract, and not overall contract value?</p>	<p>NYSIF has established a 30% MWBE participation for the overall contract value. Refer to Appendix M for additional information.</p>
150	<p>'Track payments, restitution, savings attributed to the investigators work on cases, and other financial recoveries'.</p> <p>Please clarify the following:</p> <p>a. Is a financial module (e.g. ledgers) part of the scope of the proposed solution, or is only the recording the data that is required?</p> <p>b. Does the proposed solution need to be integrated with online payment gateways or other financial system?</p>	<p>See answer 53, and 104 above. These payments records will be entered manually.</p>
151	<p>Allow for system administrators to add/subtract users, configure team members case displays remotely'.</p> <p>Can you please clarify what is intended here? Does it mean that configuration can be accomplished remotely?</p>	<p>Update users and there access role.</p>
152	<p>'Data Migration'.</p> <p>a. If it is the intention that Vendor will migrate source data direct from the existing system, can NYSIF provide technical details about the system(s) that serve as data source?</p> <p>b. Alternatively, would we assume NYSIF will provide normalized exports from the source system in some standard format?</p> <p>c. If there are any documents associated with the historical cases, can the method to access and associate them be described?</p>	<p>a. Refer to question 24.</p> <p>b. NYSIF will preform a flat file export of the could systems.</p> <p>C. Refer to question 16. No historical documents will be migrated.</p>

Name: Investigative Case Management Tool
RFP # 2018-35-ADM
Amendment 2

#	Question	NYSIF Response
153	<p>'...integrate the purchased case system into existing company systems that would retrieve certain data from these other systems.'</p> <p>Can NYSIF provide the following additional information:</p> <p>a. How many existing company systems does NYSIF anticipate to integrate with?</p> <p>b. Underlying integration technologies supported by these systems (e.g.: Web Services, SQL based queries, custom API, etc.)</p> <p>c. Is there a requirement for unidirectional integration only (data flow from external systems to proposed solution) or bidirectional (data flow "in both directions")?</p>	<p>a. Refer to question 107.</p> <p>b. Oracle database</p> <p>c. No.</p>
154	<p>'Vendor must provide initial customer setup and system configuration with a proposed project schedule'.</p> <p>Can NYSIF clarify the type of implementation is preferred or will be entertained? on premise, hosted (cloud-based)?</p>	Refer to question 33.
155	<p>'Describe and define overall System SLA(s)';</p> <p>Can NYSIF clarify the term 'overall System SLA(s)'? The answer to this depends, in part, on the answer to the previous question, so could mean up-time SLA for a cloud solution, or service levels on help desk support, etc</p>	Describe the SLA for both system uptime and online support services.
156	<p>'Describe your notification procedures for scheduled upgrades. Please include your patching/upgrade procedures'.</p> <p>Can NYSIF clarify the difference between this request and 4.C.6.d, if any?</p>	NYSIF would to know the systems time frames for security and routine system updates.
157	<p>'Share documents and case information electronically, including but not limited to large video files to both internal users, customers and external law enforcement; agencies.'</p> <p>a. We assume electronic sharing is through online access. Please confirm</p> <p>b. Assuming that the previous is correct, does NYSIF envision that 'customers' and 'external law enforcement/agencies' utilize the same mechanism / portal?</p>	<p>a. Yes.</p> <p>B. Yes.</p>
158	<p>'...Such sharing must be configurable, such that the investigator can set what field are viewable/downloadable, and which fields are protected'.</p> <p>We assume that this statement refers to structured data and does not include selection of document portions. Please confirm.</p>	Correct, this refers to structured data fields
159	<p>'Ability for an incoming email from a citizen reporting fraud to automatically create a new tip matter within the case management system.'</p> <p>a. Can NYSIF clarify what is intended by the word "automatic"? Does it mean that emails will create cases, and then staff can further refine data elements of the report? Or does it mean that the system would apply content analytics and attempt to fully interpret the content of such emails.</p> <p>b. Can NYSIF clarify the relationship between tip matter and a case? Is this a pre-case type of work item?</p>	RFP section 4.E.2.b solicits a desirable, but not mandatory solution that would ingest e-mail tips delivered to a designated mail box and create a tip matter for further review by investigators/analysts/support staff. This refers to preliminary review, and not the creation of a full case investigation.
160	<p>'...All prices shall include all direct and indirect costs, including, but not limited to, direct labor costs, overhead, fee or profit, clerical support, equipment, materials, supplies,...'</p> <p>If the system is deployed on premise, is NYSIF expecting the vendor to supply the hardware and all related software licenses and also price out the overhead for operating the system?</p>	If the system is deployed on premise, NYSIF is expecting the vendor to provide and price out software only.

Name: Investigative Case Management Tool
RFP # 2018-35-ADM
Amendment 2

#	Question	NYSIF Response
161	The NYSIF has included Appendix U (Vendor Profile) but this Appendix is not included in the response preparation instructions. Can the NYSIF confirm this appendix should be used and any additional instructions?	The awarded contractor will be required to complete these forms prior to contract execution.
162	What other platforms and systems will the solution need to interface with?	Refer to question 107.
163	Is there an integration broker platform (ie MuleSoft) already in place at NYSIF?	No.
164	Does NYSIF have internal business analysts allocated to this project and what percentage would they be dedicated to the project?	No.
165	Is there a desire to include a dedicated Salesforce specific business analyst with a high level of expertise on the platform to augment any internal Business analyst resources?	No.
166	Does NYSIF have an internal UXUI resource and if so, what percentage would they be dedicated to the project?	The system should already have been developed with a consistent user interface and interaction for the business channel.
167	Is there a desire to include a Salesforce specific UXUI resource with a high level of expertise on the platform to augment any internal UXUI resource?	No.
168	How many documents/attachments/videos are generally part of a case, and what size are they?	Our fraud investigation files are quite varied, and it is not possible to estimate an average case size.
169	Are current workflows for various case categories available for review?	No current workflows exist.
170	Are current case report forms for various case categories available for review?	No.
171	What hardware will be allocated to field investigators?	Refer to question 115.
172	Which Single Sign On platform in use at NYSIF?	Active Directory with ADFS
173	In addition to the ~3,500 cases with 60-80 fields to migrate, will there be attachments to migrate as well?	No attachments will be included in the data migration, only structured data.

Oracle Structured Data

Data Type	Number of fields
CHAR/VARCHAR various lengths	273
DATE	125
LONG RAW	1
NUMBER various lengths, precisions	253

Filemaker Pro Structured Data

Data Type	Number of fields
Calculated, Number	1
Normal, Binary	2
Normal, Date	9
Normal, Number	8
Normal, Text	30

DIVISION OF CONFIDENTIAL INVESTIGATIONS

INVESTIGATION REQUEST

**SELECT ONLY ONE FROM BELOW AND
ATTACH SUPPORTING DOCUMENTATION:**

<input type="checkbox"/> CLAIMANT TYPE: <input type="checkbox"/> TD <input type="checkbox"/> PPD <input type="checkbox"/> NOT CLASSIFIED	CLAIMS # Case Manager	SURVEILLANCE: <input type="checkbox"/> YES <input type="checkbox"/> NO WA 1: <input type="checkbox"/> YES <input type="checkbox"/> NO
<input type="checkbox"/> BROKER	BROKER #	HEARING: <input type="checkbox"/> YES <input type="checkbox"/> NO
<input type="checkbox"/> POLICYHOLDER		POLICY #
<input type="checkbox"/> PROVIDER		TAX ID #
<input type="checkbox"/> CERTIFICATE		CERTIFICATE #
SELECT SUSPECT TRANSACTION (SELECT ONE)		
CLAIMS REFERRALS (SELECT ALL THAT APPLY): <input type="checkbox"/> Claimant denied work activity and is allegedly working. <input type="checkbox"/> Claimant exaggerated the degree of disability to receive/continue benefits. <input type="checkbox"/> Deceased claimant, stolen, forged, altered or counterfeit check. <input type="checkbox"/> Claimant injury not work related.		
BROKER REFERRALS (SELECT ALL THAT APPLY): <input type="checkbox"/> Issued questionable certificate. <input type="checkbox"/> OTHER: _____		
POLICY REFERRALS (SELECT ALL THAT APPLY): <input type="checkbox"/> Assured has off the books payroll to avoid paying the actual premium due. <input type="checkbox"/> Policyholder suspected of misclassifying employees to avoid paying correct premium. <input type="checkbox"/> A review of the application and NYSIF records indicate the officers were involved in a prior policy with outstanding balance. <input type="checkbox"/> Fraudulent application – Sec. 93b. <input type="checkbox"/> OTHER: _____		
PROVIDER REFERRALS (SELECT ALL THAT APPLY): <input type="checkbox"/> Improper billing submitted.		
CERTIFICATE: <input type="checkbox"/> Questionable Certificate of Insurance.		
OTHER: (SEE DCI FOR ASSISTANCE)		
BEGINNING FRAUD DATE:		ESTIMATED LOSS AMOUNT:
COUNTY OF OCCURRENCE		DISTRICT OFFICE
NYSIF PRIMARY CONTACT		TELEPHONE
DCI CONTACT (IF ANY)		

**THE STATE INSURANCE FUND
DIVISION OF CONFIDENTIAL INVESTIGATIONS**

DCI CASE TRACKING INPUT SHEET

To: _____, Director
From: _____

Date: _____

Type: ☐ **ARREST:** ☐ **NON-ARREST CLOSING:** ☐ **CONVICTION & SENTENCING DETAILS**

DCI Case# _____ Subject/Case Name/Defendant: _____ DFS# _____

☐ **CLAIM** ☐ **POLICY** ☐ **BROKER** ☐ **CERTIFICATE** NUMBER# _____

☐ **NOTIFICATION SENT TO DISTRICT OFFICE MANAGER – DATE:** _____

SECTION I – ARREST

Date of Arrest: _____

Prosecutor's Charges: _____

Arresting Department and Court/Judge: _____

Recorded Savings: \$ _____

☐ ARREST REPORT/INDICTMENT SHEET IN CASE FILE

☐ CLAIMS SAVINGS MEMO OR ADDITIONAL PREMIUM BILLING IN CASE FILE

☐ OTHER IN CASE FILE _____

SECTION II – NON-ARREST CLOSING

Reason for Action: _____

Recorded Savings: \$ _____

SECTION III – CONVICTION AND SENTENCING DETAILS

COURT: _____ ADA NAME: _____

Claims Fraud Calculated Loss \$ _____ Restitution Total Ordered Amount \$ _____

Calculated Premium Loss \$ _____ Policy Period _____ Penalties & Interest \$ _____

☐ Forfeiture Order Amount \$ _____ Delivered to Alison Kent-Friedman – Date: _____

☐ CONFESSION OF JUDGMENT IN CASE FILE

☐ Court Order(s) Less than Loss

SUPERVISORY ONLY

Supervising Investigator Initial

Date _____

Data Entry Initial

Date _____

APPENDIX S

CONTRACTOR REQUIREMENTS AND PROCEDURES FOR BUSINESS PARTICIPATION OPPORTUNITIES FOR NEW YORK STATE CERTIFIED SERVICE DISABLED VETERAN OWNED BUSINESSES (SDVOB)

Article 17-B of the New York State Executive Law provides for more meaningful participation in public procurement by certified Service-Disabled Veteran-Owned Businesses (“SDVOB”), thereby further integrating such businesses into New York State’s economy. NYSIF recognizes the need to promote the employment of service-disabled veterans and to ensure that certified service-disabled veteran-owned businesses have opportunities for maximum feasible participation in the performance of NYSIF contracts.

In recognition of the service and sacrifices made by service-disabled veterans and in recognition of their economic activity in doing business in New York State, Bidders are expected to consider SDVOBs in the fulfillment of the requirements of the Contract. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles.

I. CONTRACT GOALS

- A. NYSIF hereby establishes an overall goal of 6% for SDVOB participation, based on the current availability of qualified SDVOBs. For purposes of providing meaningful participation by SDVOBs, the Bidder/Contractor should reference the directory of New York State Certified SDVOBs found at: https://ogs.ny.gov/veterans/Docs/CertifiedNYS_SDVOB.pdf. Questions regarding compliance with SDVOB participation goals should be directed to the NYSIF Designated Contacts at contracts@nysif.com. Additionally, following Contract execution, Contractor is encouraged to contact the Office of General Services’ Division of Service-Disabled Veterans’ Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss additional methods of maximizing participation by SDVOBs on the Contract.
- B. Contractor must document “good faith efforts” to provide meaningful participation by SDVOBs as subcontractors or suppliers in the performance of the Contract (see clause IV below).

II. SDVOB UTILIZATION PLAN

- A. In accordance with 9 NYCRR § 252.2(i), Bidders are required to submit a completed SDVOB Utilization Plan on Form S-100 with their bid.
- B. The Utilization Plan shall list the SDVOBs that the Bidder intends to use to perform the Contract, a description of the work that the Bidder intends the SDVOB to perform to meet the goals on the Contract, the estimated dollar amounts to be paid to an SDVOB, or, if not known, an estimate of the percentage of Contract work the SDVOB will perform. By signing the Utilization Plan, the Bidder acknowledges that making false representations or providing information that shows a lack of good faith as part of, or in conjunction with, the submission of a Utilization Plan is prohibited by law and may result in penalties including, but not limited to, termination of a contract for cause, loss of eligibility to submit future bids, and/or withholding of payments. Any modifications or changes to the agreed participation by SDVOBs after the Contract

APPENDIX S

award and during the term of the Contract must be reported on a revised SDVOB Utilization Plan and submitted to NYSIF.

- C. NYSIF will review the submitted SDVOB Utilization Plan and advise the Bidder/Contractor of NYSIF acceptance or issue a notice of deficiency within 20 days of receipt.
- D. If a notice of deficiency is issued, Bidder/Contractor agrees that it shall respond to the notice of deficiency, within seven business days of receipt, by submitting to NYSIF a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by NYSIF to be inadequate, NYSIF shall notify the Bidder/Contractor and direct the Bidder/Contractor to submit, within five business days of notification by NYSIF, a request for a partial or total waiver of SDVOB participation goals on S-200. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.
- E. NYSIF may disqualify a Bidder's bid or proposal as being non-responsive under the following circumstances:
 - 1. If a Bidder fails to submit an SDVOB Utilization Plan;
 - 2. If a Bidder fails to submit a written remedy to a notice of deficiency;
 - 3. If a Bidder fails to submit a request for waiver; or
 - 4. If NYSIF determines that the Bidder has failed to document good faith efforts.
- F. If awarded a Contract, Contractor certifies that it will follow the submitted SDVOB Utilization Plan for the performance of SDVOBs on the Contract pursuant to the prescribed SDVOB contract goals set forth above.
- G. Contractor further agrees that a failure to use SDVOBs as agreed in the Utilization Plan shall constitute a material breach of the terms of the Contract. Upon the occurrence of such a material breach, NYSIF shall be entitled to any remedy provided herein, including but not limited to, a finding of Contractor non-responsibility.

III. REQUEST FOR WAIVER

- A. **Prior to submission of a request for a partial or total waiver, Bidder/Contractor shall speak to the Designated Contacts at NYSIF for guidance.**
- B. In accordance with 9 NYCRR § 252.2(m), a Bidder/Contractor that is able to document good faith efforts to meet the goal requirements, as set forth in clause IV below, may submit a request for a partial or total waiver on Form S-200, accompanied by supporting documentation. A Bidder may submit the request for waiver at the same time it submits its SDVOB Utilization Plan. If a request for waiver is submitted with the SDVOB Utilization Plan and is not accepted by NYSIF at that time, the provisions of clauses II (C), (D) & (E) will apply. If the documentation included with the Bidder's/Contractor's waiver request is complete, NYSIF shall evaluate the request and issue a written notice of acceptance or denial within 20 days of receipt.
- C. Contractor shall attempt to utilize, in good faith, the SDVOBs identified within its SDVOB Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract award may be made at any time during the term of the Contract to NYSIF, but must be

APPENDIX S

made no later than prior to the submission of a request for final payment on the Contract.

- D. If NYSIF, upon review of the SDVOB Utilization Plan and Monthly SDVOB Compliance Report (Form S-101) determines that Contractor is failing or refusing to comply with the contract goals and no waiver has been issued in regard to such non-compliance, NYSIF may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven business days of receipt. Such response may include a request for partial or total waiver of SDVOB contract goals.

Waiver requests should be sent to the NYSIF designated contacts at contracts@nysif.com.

IV. REQUIRED GOOD FAITH EFFORTS

In accordance with 9 NYCRR § 252.2(n), Contractors must document their good faith efforts toward utilizing SDVOBs on the Contract. Evidence of required good faith efforts shall include, but not be limited to, the following:

- 1) Copies of solicitations to SDVOBs and any responses thereto.
- 2) Explanation of the specific reasons each SDVOB that responded to Bidders/Contractors' solicitation was not selected.
- 3) Dates of any pre-bid, pre-award or other meetings attended by Contractor, if any, scheduled by NYSIF with certified SDVOBs whom NYSIF determined were capable of fulfilling the SDVOB goals set in the Contract.
- 4) Information describing the specific steps undertaken to reasonably structure the Contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified SDVOBs.
- 5) Other information deemed relevant to the waiver request.

V. MONTHLY SDVOB CONTRACTOR COMPLIANCE REPORT

In accordance with 9 NYCRR § 252.2(q), Contractor is required to report Monthly SDVOB Contractor Compliance to NYSIF during the term of the Contract for the preceding month's activity, documenting progress made towards achieving the Contract SDVOB goals. This information must be submitted using Form S-101 available on the NYSIF website and should be completed by the Contractor and submitted to NYSIF, by the 10th day of each month during the term of the Contract, for the preceding month's activity to: SDVOBinfo@nysif.com.

VI. BREACH OF CONTRACT AND DAMAGES

In accordance with 9 NYCRR § 252.2(s), any Contractor found to have willfully and intentionally failed to comply with the SDVOB participation goals set forth in the Contract, shall be found to have breached the contract and Contractor shall pay damages as set forth therein.

APPENDIX S
FORM S-100: SDVOB UTILIZATION PLAN

SDVOB UTILIZATION PLAN

☐ Initial Plan ☐ Revised plan Contract/Solicitation # _____

INSTRUCTIONS: This Utilization Plan must contain a detailed description of the supplies and/or services to be provided by each NYS **Certified** Service-Disabled Veteran-Owned Business (SDVOB) under the contract. By submission of this Plan, the Bidder/Contractor commits to making good faith efforts in the utilization of SDVOB subcontractors and suppliers as required by the SDVOB goals contained in the Solicitation/Contract. Making false representations or providing information that shows a lack of good faith as part of, or in conjunction with, the submission of a Utilization Plan is prohibited by law and may result in penalties including, but not limited to, termination of a contract for cause, loss of eligibility to submit future bids, and/or withholding of payments. Firms that do not perform commercially useful functions may not be counted toward SDVOB utilization. Attach additional sheets if necessary.

BIDDER/CONTRACTOR INFORMATION

SDVOB Goals In Contract

Bidder/Contractor Name:	Federal Identification No.:	%
Bidder/Contractor Address (Street, City, State and Zip Code):		

Bidder/Contractor Telephone Number:	Contract Work Location/Region:
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Contract Description/Title:

CONTRACTOR INFORMATION

Prepared by (Signature):	Name and Title of Preparer:	Telephone Number:	Date:
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Email Address:

If unable to meet the SDVOB goals set forth in the solicitation/contract, bidder/contractor must submit a request for waiver on the SDVOB Waiver Form (S-200).

SDVOB Subcontractor/Supplier Name:

Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
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Address:	Email Address:
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Detailed description of work to be provided by subcontractor/supplier:

Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform): \$ _____ or _____%

SDVOB Subcontractor/Supplier Name:

Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
---	-----------------------------	----------------

Address:	Email Address:
----------	----------------

Detailed Description of work to be provided by subcontractor/supplier:

Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform): \$ _____ or _____%

FOR NYSIF USE ONLY

NYSIF Authorized Signature:	<input type="checkbox"/> Accepted	<input type="checkbox"/> Accepted as Noted	<input type="checkbox"/> Notice of Deficiency
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NAME (Please Print):	SDVOB %/\$	Date Received:	Date Processed:
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Comments:

NYS CERTIFIED SDVOB SUBCONTRACTOR/SUPPLIER INFORMATION: The directory of New York State Certified SDVOBs can be viewed at: https://ogs.ny.gov/Veterans/Docs/CertifiedNYS_SDVOB.pdf

Note: All listed Subcontractors/Suppliers will be contacted and verified by NYSIF.

APPENDIX S
FORM S-100: SDVOB UTILIZATION PLAN

ADDITIONAL SHEET

Bidder/Contractor Name:	Contract/Solicitation #
--------------------------------	--------------------------------

SDVOB Subcontractor/Supplier Name:		
Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
Address:	Email Address:	
Detailed Description of work to be provided by subcontractor/supplier:		
Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform): \$ _____ or _____ %		
SDVOB Subcontractor/Supplier Name:		
Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
Address:	Email Address:	
Detailed Description of work to be provided by subcontractor/supplier:		
Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform): \$ _____ or _____ %		
SDVOB Subcontractor/Supplier Name:		
Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
Address:	Email Address:	
Detailed Description of work to be provided by subcontractor/supplier:		
Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform): \$ _____ or _____ %		
SDVOB Subcontractor/Supplier Name:		
Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
Address:	Email Address:	
Detailed Description of work to be provided by subcontractor/supplier:		
Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform)): \$ _____ or _____ %		

APPENDIX S
INSTRUCTION FOR COMPLETING THE MONTHLY
SDVOB COMPLIANCE REPORT – FORM S-101

Instructions for Completing the
Monthly SDVOB Compliance Report – Form S-101

The SDVOB Monthly Reporting Form is to be completed by the Contractor/Vendor, and submitted by the 10th day of *each* month for the duration of the Contract. This form should include **all** (e.g. SDVOB and non SDVOB) Subcontractors and/or Suppliers assigned by the Contractor/Vendor to perform work during the contract. This reporting should also include payments made by your Subcontractors and/or Suppliers to SDVOB firms.

Complete the form as specified below.

Contract No.	Indicate the NYSIF Contract No.
Contractor/Vendor Name and Address	Provide your firm's name and address.
Federal ID No.	Enter your firm's Federal ID No.
Goals	Indicate SDVOB participation goals.
Reporting Period	Fill in the month and year of reporting period. One copy must be submitted with final payment application.
Description of Project	Briefly describe the work you are providing under the terms of this contract.
Firm Name and Address	Provide the name, address and phone number of all Subcontractors/Suppliers assigned by the Contractor/Vendor on this contract or purchase agreement(s).
Federal ID No.	Enter the Subcontractor's/Supplier's Federal ID No. If no Federal ID No. has been assigned, provide only the owner's last four (4) digits of his or her Social Security No.
Payment This Month	Indicate the amount paid <i>this month</i> to each Subcontractor/Supplier. If there was no income activity for a Subcontractor/Supplier, please check the box indicating "No Payment This Month."
Contract Amount	Enter the total contract amount or purchase agreement(s) amount for each Subcontractor/Supplier.
Description of Work/Supplies	Briefly describe the work performed or supplies provided by each Subcontractor/Supplier.

Submit to:

New York State Insurance Fund
Attn: Procurement Unit
15 Computer Drive West
Albany, NY 12205
Email: SDVOBinfo@nysif.com

APPENDIX S
FORM S-101: CONTRACTOR'S MONTHLY SDVOB COMPLIANCE REPORT

CONTRACTOR'S MONTHLY SDVOB COMPLIANCE REPORT (DUE ON THE 10TH DAY OF EACH MONTH FOR THE PRECEDING MONTH'S ACTIVITY AS EVIDENCE TOWARDS ACHIEVEMENT OF THE SDVOB GOALS ON THE CONTRACT)

Contract No.: _____

Contractor/Vendor Name, Address and Phone No.:	Contractor/Vendor Federal ID No.:	SDVOB Goals	Reporting Period	
	Description of Project:	%	Month	Year

Firm Name, Address and Phone Number (List All Firms)	Description of Work or Supplies Provided	Designation	Payment This Month	Contract Amount
Federal ID No.:		<input type="checkbox"/> SDVOB <input type="checkbox"/> Supplier <input type="checkbox"/> Sub <input type="checkbox"/> Team <input type="checkbox"/> Broker <input type="checkbox"/> Other <input type="checkbox"/> Joint Venture <input type="checkbox"/> No Written Contract <input type="checkbox"/> Written Contract	<input type="checkbox"/> No Payment This Month	
Federal ID No.:		<input type="checkbox"/> SDVOB <input type="checkbox"/> Supplier <input type="checkbox"/> Sub <input type="checkbox"/> Team <input type="checkbox"/> Broker <input type="checkbox"/> Other <input type="checkbox"/> Joint Venture <input type="checkbox"/> No Written Contract <input type="checkbox"/> Written Contract	<input type="checkbox"/> No Payment This Month	
Federal ID No.:		<input type="checkbox"/> SDVOB <input type="checkbox"/> Supplier <input type="checkbox"/> Sub <input type="checkbox"/> Team <input type="checkbox"/> Broker <input type="checkbox"/> Other <input type="checkbox"/> Joint Venture <input type="checkbox"/> No Written Contract <input type="checkbox"/> Written Contract	<input type="checkbox"/> No Payment This Month	
Federal ID No.:		<input type="checkbox"/> SDVOB <input type="checkbox"/> Supplier <input type="checkbox"/> Sub <input type="checkbox"/> Team <input type="checkbox"/> Broker <input type="checkbox"/> Other <input type="checkbox"/> Joint Venture <input type="checkbox"/> No Written Contract <input type="checkbox"/> Written Contract	<input type="checkbox"/> No Payment This Month	

_____ Signature	_____ Print Name and Title	_____ Date
--------------------	-------------------------------	---------------

Submission of this form constitutes the Contractor's acknowledgement as to the accuracy of the information contained herein. Failure to submit complete and accurate information may result in a finding of noncompliance, non-responsibility, suspension and/or termination of the Contract.

For NYSIF Use Only	
Reviewed By:	Date:

APPENDIX S
FORM S-200: APPLICATION FOR WAIVER OF SDVOB PARTICIPATION GOAL

APPLICATION FOR WAIVER OF SDVOB PARTICIPATION GOAL

(must be submitted before requesting final payment on the Contract)

Section 1: Basic Information

Contractor's Name:	Federal Identification Number:
Street Address:	E-Mail Address:
City, State, Zip Code:	Telephone:
Contract Number:	SDVOB CONTRACT GOALS
	%

Section 2: Type of SDVOB Waiver Requested

<input type="checkbox"/> Total	<input type="checkbox"/> Partial	If partial waiver, please enter the revised SDVOB percentage:	%
Please explain the reason for the waiver request:			

Section 3: Supporting Documentation

Provide the following documentation as evidence of your good faith efforts to meet the SDVOB goals set forth in the contract and in support of your waiver application:

- ☐ **Attachment A.** Copies of solicitations to SDVOBs and any responses thereto.
- ☐ **Attachment B.** Explanation of the specific reasons each SDVOB that responded to Bidders/Contractors' solicitation was not selected.
- ☐ **Attachment C.** Dates of any pre-bid, pre-award or other meetings attended by Contractor, if any, scheduled by NYSIF with certified SDVOBs whom NYSIF determined were capable of fulfilling the SDVOB goals set forth in the contract.
- ☐ **Attachment D.** Information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified SDVOBs.
- ☐ **Attachment E.** Other information deemed relevant to the request.

Section 4: Signature and Contact Information

By signing and submitting this form, the contractor certifies that a good faith effort has been made to promote SDVOB participation pursuant to the SDVOB requirements set forth under the solicitation or Contract. Failure to submit complete and accurate information may result in a finding of noncompliance, non-responsibility, and a suspension or termination of the contract.

Prepared By: (Signature)	Date:
Name and Title of Preparer (Print or Type)	

Submit with the bid or proposal or if submitting after award submit to:

New York State Insurance Fund
Attn: Procurement Unit
15 Computer Drive West
Albany, NY 12205
Email: contracts@nysif.com

APPENDIX S
FORM S-200: APPLICATION FOR WAIVER OF SDVOB PARTICIPATION GOAL

For NYSIF Use Only	
Reviewed By:	Date:
<div>Decision:</div> <div style="margin-left: 20px;"><input type="checkbox"/> Full SDVOB waiver granted <input type="checkbox"/> Partial SDVOB waiver granted; revised SDVOB goal: _____ % <input type="checkbox"/> SDVOB waiver denied</div>	
Approved By:	Date:
Date Notice of Determination Sent:	
Comments	