STATEMENT OF WORK

SCOPE:

The New York State Liquor Authority (NYSLA) / Division of Alcoholic Beverage Control is seeking a contractor to provide customizable Commercial of the Shelf (COTS) software and assist with the implementation of Comprehensive Alcoholic Beverage Licensing & Regulatory Compliance System as the Enterprise IT application solution that will replace the legacy applications currently supporting the mission critical business processes within NYSLA.   It is NYSLA's intent to purchase the COTS to support the following Bureaus:

- ➢ Licensing
    - New License Applications
    - New Permit Applications
    - Inspections
    - License Changes
    - Renewals
    - 500' Hearings
- ➢ Wholesale
    - Brand Label Registrations
    - Wine Tasting Permits
    - Bar Reporting
    - Direct Shipment Reporting
    - Price Postings
    - Investigations
- ➢ Enforcement
    - Complaint Handling
    - Inspections
    - Investigations
- ➢ Office of Counsel
    - All Phases of Prosecutions
- ➢ Hearings
    - Scheduling
    - Adjournments
    - Decisions
- ➢ Secretary's Office / Full Board
    - Full Board Calendar Scheduling
    - Recording Decisions
    - Penalty Collections

The core applications will include mobile user applications as well as GIS functionality throughout the applications.

REQUIREMENTS

Functional Requirements

The functional requirements that shall be satisfied for NYSLA to achieve the scope and sophistication of the system are defined below.

General. These are requirements that must be accounted for and apply to the overall system.

Number	General Functional Requirements
1.	System requires flexibility for custom configuration by Agency IT staff including adding new fields and searches as required, without custom development or added cost.
2.	System should provide management dashboards and reports for easy views of performance metrics and statistics including but not limited to the measures outlined in Appendix A.
3.	System will easily adapt to agency business processes. System will accommodate customization of NYSLA's workflows and processes.
4.	The system allows for fields with internal links to reference sections, code violations, fees, fee schedules, look-up fields, workflows, licenses, license fees, etc., to be configurable, changeable and not hard-coded within the system.
5.	The system can track anticipated complaint, inspections, investigations, disciplinary proceedings and full board calendars.
6.	The system must be a proven enterprise with integrated GIS, mobile and citizen facing modules.
7.	System should allow for integration of MS Outlook, MS Calendar, and other critical links.
8.	The system should provide an internal bulletin board for agency announcements to staff.
9.	System allows for configuration so that each bureau, unit or user can have their own "look and feel" to their systems.

Licensing and Permitting. Support the entire licensing process within NYSLA. Including but not limited to new license and permit applications, license change applications and renewals processing.

Number	Licensing and Permitting Requirements
1.	The system allows for licensees to apply for and pay their renewal fees on-line via internet connectivity.
2.	The system allows for licensees to apply for new licenses on-line via internet connectivity. This includes simple and multiple endorsement licenses.
3.	The system allows for the management, tracking, collection and refunding of license and permit fees related to new license and permit applications, license changes as well as license and permit renewals.
4.	The system allows for the entry and tracking of all types and classes of licenses and permits as well as all change application related to licenses and permits.
5.	The system allows the licensees to specify their preferred method of communication with NYSLA. (i.e. e-mail address, fax number, mailing address, etc.)

Number	Licensing and Permitting Requirements
6.	The system will adopt the existing unique serial number identifier as assigned to each license/permit application for reference purposes. The identifier is carried throughout the license lifecycle, from application through close-out of the license as well as being referenced and searchable in the compliance / regulatory systems.
7.	Each license type can have created its own unique workflow process for the review and approval. This workflow configuration can be leveraged for other processes.
8.	Each division can define the business rules to be followed for their license/permit workflows (time constraints, sign-offs, reviewers, required documentation, fees, forms, etc.). This is to be manager/management controlled.
9.	The systems will be completely integrated across the licensing and disciplinary systems allowing flag stops on addresses, individuals or corporations to prevent acceptance of new applications fitting any restricted criteria.
10.	Agency can access, view, print & manage all correspondence regarding a particular license or permit. All documents and images can be associated with a license serial number and directly imported into the system via a pre-defined import file layout. Supporting documentation may also be scanned in and attached to license serial number.
11.	Agency can define what information is required for each of their corresponding permits/licenses' applications.
12.	Agency has the ability to check the status, both licensing and disciplinary for all active or inactive licenses and permits.
13.	Supporting documents for an application can be attached to an on-line web-browser submitted application.
14.	System allows for applications for a license or permit can be entered started by applicant via web-browser interface on a publicly available site.
15.	The system allows each of the departments the ability to configure custom fields for each of the license and permit applications.
16.	The system allows for agency to view the status of all pending license/permit applications and the activities of the reviewing parties.
17.	The system allows for the definition of required inspections by type of license or permit.
18.	The system allows for the agency to view 'delinquent' reviews to verify what might be delaying a specific license or permit application during the review process.
19.	The system allows the ability to customize the print layout for each class of license or permit for issuance onto existing secure license and permit certificates.
20.	The system allows the user to define priority codes for applications and make priority assignments of the applications at time of entry.
21.	The system automatically notifies via e-mail each reviewer that an application is pending review once the application has been acceptable and assigned.
22.	The system can assess license or permit criteria for determining review requirements and flag the agency of review recommendations (as predefined during license or permit application configuration)
23.	The system can report on all communications and comments on a license or permit application.
24.	The system can support real-time routing assignments at the time of entering a license or permit application from a pre-determined routing list (i.e. during system configuration a routing list is assigned to each license or permit and during creation of that license or permit, a pick-list is available to select which departments/divisions on the routing list is required to review/approve that particular application)
25.	The system can supports processes that are able to have future reminders to check on compliance.

Number	Licensing and Permitting Requirements
26.	The system can track after-issuance problems with licenses and permits and report on percentage of issued licenses or permits that have errors.
27.	The system has the ability to assign time constraints on licenses or permits and issues an automatic notice when the time constraint expires.
28.	The system has the ability to manage all communications between the applicant and reviewers (when a item has been posted for review or comment by another party, then the system automatically notifies the intended party of the item that requires their attention).
29.	The system will notify or restrict the user at time of application if an 'open' violation exists or a hold on the license or permit applies.
30.	The statutes regulations shall be available with hyper links from internally within the system.
31.	The system will provide scheduling and tracking for all 500 foot rule hearings. All matters related to the 500 fool rule will be recorded, trackable and manageable.

Wholesale. Support the Wholesale Bureau within NYSLA. Including but not limited to brand label registrations and renewals, wine tastings, direct shipment reporting, price postings, and Wholesale investigations.

Number	Wholesale Requirements
1.	The system allows for Wholesale licensees to apply for and pay their brand label registrations and renewal fees on-line via internet connectivity.
2.	The system allows for the management, tracking, collection and refunding of brand label permit fees related to new registrations and renewals.
3.	The system will provide for workflow associated with both brand label registrations and renewals from intake to issuance.
4.	The system will provide for the tracking and decisions related to Wine tasting event applications.
5.	The system provides for the tracking and regulation of the reporting requirements associated with manufacturers conducting direct consumer promotions at retail establishments.
6.	The system allows for the viewing and tracking of all information related to the submission and monthly price postings.
7.	The system will allow for the online submission and tracking of all information related to Direct Wine Shipments.

Inspections, Investigations and Enforcement. Support the various inspection and investigation processes, related to license and permit inspections, enforcement investigations, and other investigations performed by NYSLA.

Number	Inspections, Investigations and Enforcement Requirements
1.	Case Tracking: Users shall be able to track and update information about cases. System shall also provide ability to search for cases and also ability to display information in various formats.
2.	Application should be able to generate letters of warning, investigation reports and referrals to Office of Counsel.
3.	Application should be able to generate notice of meetings, training, inspections, investigations, joint task force operations, suspension/cancellation/revocation and hearings.
4.	Application should be able to track disposition of each compliance-related matter and be able to route the workflow associated with the matter on for disciplinary proceedings or as otherwise appropriate.

Number	Inspections, Investigations and Enforcement Requirements
5.	The handheld version allows the investigators full access to all relevant information for their assigned cases.
6.	The handheld version of the system provides work management tools for the investigators and their managers to review work status on all assigned permits, work load and schedule of appointments, and all correspondence activities (phone calls, e-mails, faxes, etc.) for all assigned cases.
7.	Ability to auto-fill each field on compliance document. Should pull the information from system data that already exists.
8.	Code violation management tracking capabilities from entry by the investigator (or user) through closeout.
9.	The system allows for the entry, tracking and reporting of violations to specific licensees.
10.	The system can give access to outside departments on inspection status and associated violations for management processes.
11.	The system can track the inspection or investigation through enforcement and tie the data back from enforcement entities.
12.	Once a complaint is received, all relevant units (enforcement office, scheduling unit) are notified via e-mail that it requires their attention.
13.	System will allow for the assignment and tracking of inspections/investigations for multiple levels of supervision from Investigator to senior investigator and onto supervising investigator.
14.	System allows for pre-identified list of users to request inspections / investigations on specific properties (i.e. customer service, city council members, Director, etc.). List can have 'hidden' pre-defined priority codes assigned to their requests.
15.	System shall give access to field investigators using PDA, laptops and other mobile devices. Investigators shall be able to view the enforcement history on-site and determine who the owner is. The system shall provide for entering, storing, and transmitting automated inspection forms. Investigators shall also be able to print violations and missed appointment notices. System shall provide for the ability to upload the updates in real time where wireless Internet connection is available and for batch updates from mobile device to main database when mobile device is connected to the network, where wireless connectivity is not available
16.	The handheld version allows investigators to enter inspection/investigation notes and report any code violations that may be identified during an inspection/investigation.
17.	The handheld version allows investigators to schedule follow-up appointments.
18.	The handheld version allows the investigators full access to all relevant information for their assigned case.
19.	The handheld version of the system provides work management tools for the investigators and their managers to review work status, work load and schedule of appointments, and all correspondence activities (phone calls, e-mails, faxes, etc.) for each assigned cases.
20.	The system allows for an Agency user the ability to see the history of scheduled appointments, inspections, investigations and outcomes.
21.	The system allows for an Agency user the ability to view details of inspections/investigations.
22.	The system allows for each Zone the ability to define the business rules to be followed for their workflows (time constraints, sign-offs, reviewers, required documentation, fees, forms, etc.)
23.	The system allows for the ability to link to licenses/permits to inspections/investigations and disciplinary proceedings.

Number	Inspections, Investigations and Enforcement Requirements
24.	The system allows for web-based and field-based applications to printout violation notices
25.	The system allows the agency to assign investigators to specific issued or applied for licenses/permits.
26.	The system allows the agency to view the current status on all issued inspections throughout the enforcement process.
27.	The system can attach audio/video that is captured in conjunction with the inspection/investigation.
28.	The system can implement checks and balances on inspection/investigation rules and workflows, and have the ability to have multiple workflows dependent upon investigation type.
29.	The system evaluates the optimal route for investigators to travel between appointments and can make recommendations when entering addresses for a days activity prior to scheduling time specifics for appointments.
30.	The system provides work management tools for the investigators and their managers to review work status on all assigned cases, schedule of appointments, and all correspondence activities (phone calls, e-mails, faxes, etc.).
31.	The system will provide the functionality to print a variety of letters based on the status and outcome of any particular case.

Disciplinary Proceedings. Support the processes associated with the litigation process where licensees are charged with violations and pleas are received, hearings are conducted where necessary, matters are forwarded to the Full Board Calendar for final determinations, penalties are imposed and fines are administered and collected.

Number	Disciplinary Processing Requirements.
1.	Case Tracking: Users shall be able to track and update information about cases. System shall also provide ability to search for cases and also ability to display information in various formats.
2.	System shall enable tracking associated with the workflows defined in the disciplinary process.
3.	System will allow for the assignment and tracking of cases by the assigned SLA attorney.
4.	System will allow the assignment of an attorney to the licensee independently on each case.
5.	System allows for a variety of letters to be automatically generated by the system with envelopes created by on user selection from addresses stored within the system (premises, principal, attorney, etc.).
6.	System provides ability to record pleas from applicants and stores a complete history of all pleas. (Not guilty, no contest / nc default, no response, counter offer)
7.	System provides for the routing of work appropriate for each plea.
8.	System will provide for the tracking of each charge, with details and notes for each.
9.	System will allow for the recording of conditional no contest terms.

Hearings. Support the processes associated with the litigation process where hearings are scheduled and conducted.

Number	Hearing Process Requirements.

Number	Hearing Process Requirements.
1.	System allows for scheduling of hearings for cases where a not guilty plea has been received or the Full Board has directed a hearing.
2.	System provides for the assignment of an Administrative Law Judges (ALJ) for each case requiring a hearings.
3.	System will provide for hearings can be scheduled at sites predefined in the system.
4.	System tracks hearings by date, case number or ALJ with reporting capability for outstanding matters.
5.	System provides for recording of hearing results and tracks all history and dates associated with the hearing process. (concluded, adjourned, continued).
6.	System provides letter templates for preparation of the hearing decision by the ALJ.
7.	System will track the controversion period associated with the response period associated with the hearing report.

Secretary's Office and Full Board. Support the processes associated with the Full Board calendar where licensing and disciplinary matters appear before the Board of 3 Commissioners.

Number	Secretary's Office and Full Board Requirements.
1.	System allows for scheduling of meetings of the Full Board (FB). FB calendar dates are set in the system by selected staff with the number of agenda items also predefined and set for each meeting with the number of items not to be exceeded for that calendar.
2.	System allows for a variety of matters to be automatically or manually scheduled on the FB agenda. (licensing, disciplinary, personnel appointments, etc.)
3.	System allows for a variety of processes to be performed on scheduled matters. (rescheduled, deletions, insertions)
4.	System provides functionality to record commissioner votes as well as the disposition of each item. (sustained, withdrawn, dismissed)
5.	System allows for the tracking of votes by commissioner for all FB meetings and for each agenda item.
6.	System provides ability to enter penalty data for each disciplinary case. (suspensions, cancellations, revocations, civil penalty fine, bond claim fine, due date, etc.)
7.	System allows for the collection and complete tracking of outstanding fines.
8.	System provides the functionality to generate agenda template forms automatically for each item and provides the ability to print the agenda forms in bulk by item or meeting.
9.	System provides the ability to generate letters associated with decisions related to each agenda item. (licensing approvals/disapprovals, penalties, personnel matters, etc.)

Communications and Customer Service. Provide web-based Internet access to key functions for citizens' benefit.

Number	Communications and Customer Service Requirements
1.	System provides Internet access for public. Residents and public shall be able to apply for licenses and permits via the Internet. Applicants must be able to upload documents as needed.
2.	System provides Internet access for public. Residents and public shall be able to renew licenses and permits via the Internet.
3.	System provides Internet access for public. Residents and public shall be able to register complaints and check the status of disciplinary proceedings.

Number	Communications and Customer Service Requirements
4.	Applicants can view the status of pending applications and what reviews/approvals are outstanding (and any comments that might have been made from a reviewing department – i.e. a department has reviewed an application, but requires specified changes to the approval).
5.	System provides a complaint management and entry module for varying user groups (customer service, governmental entities, residents, public, business owners, police, etc.)

GIS Capability to leverage GIS technology in the context of other workflows and areas of the system.

Number	GIS Requirements
1.	GIS Integration: System must be able to integrate with existing GIS application giving users access to all GIS information they need for licensing, inspections / investigations and disciplinary systems.
2.	The system allows the user to check if any violations, complaints, licenses, permits, etc. exist on a particular property (also provides this automatically at the time of application entry). System can automatically perform a radius search of the surrounding area and display selected license types and classes in the surrounding vicinity with distances available.
3.	The system can be integrated with the standard ESRI graphical information system data stores.
4.	The system provides a graphical front-end to the integrated GIS data (i.e. spatial searches, etc.)

Mobile Users working in the field can access the system wirelessly via handheld devices.

Number	Mobile Requirements
1.	The handheld software shall be capable of printing notices, reports, violations, licenses etc. from a field location (using a mobile printer)
2.	The system supports both a synchronization and wireless connectivity communication for the handheld devices
3.	The system supports/provides a version of the software that can be deployed on a handheld device

Reporting. Capability to generate all types of reports for different needs, in a user configurable fashion.

Number	Reporting Requirements
1.	The application should provide increased reporting capabilities with selectable fields as to what data can be included with each report. Application will provide ad hoc capabilities and canned reports. These reports will have sorting and filtering functions and allow the users to select with fields can be used.
2.	The application should provide the facilities to export report data to Microsoft Office products.
3.	Financial reports can be defined by group, license/permit type, or violation type.
4.	System has ability to create status reports (with details if needed) on complaints by user groups and priority codes can be viewed and printed by all authorized users.
5.	System can track performance measures for all aspects of intake, scheduling, inspection, licensing, permitting and disciplinary processes.
6.	System provides dynamic document generation (i.e. generate form letters, inspection / investigation results, litigation notifications and letters, all from system templates).

Number	Reporting Requirements
7.	The departments can create reports and queries based on the custom fields that they have defined.
8.	The system allows for all reports to be sorted/filtered by user defined parameters (geographical zoning areas, etc.).
9.	Ability to create standardized form letters via mail merge function.
10.	The system allows for all management reports to be defined on any violations (by geographical zoning areas, etc.).
11.	The system allows for management reports to be defined on license or permit types (by geographical zoning areas, etc.).
12.	The system allows for agency to view and print reports pertaining to their specific areas of responsibility.
13.	The system allows for reviewing departments to view and print reports pertaining to their action items that require their attention.
14.	The system allows for the reporting on closed, issued or pending elements (permits, licenses, etc) by category, by department.
15.	The system allows managers to view all of their direct reports work schedules and assigned activities, Managers can add, edit, and override work schedules.
16.	The system has a robust ad-hoc reporting capability.
17.	The system shall be able to query license, permit or case information by at least the following criteria: license number, owner name, premises name, DBA, address, zone, county, certificate number, and license type.
18.	The system provides a method for easily identifying bottlenecks and problem areas throughout the lifecycle (application processes, renewal processes, disciplinary processes, close-out).
19.	System will provide management dashboards for agency performance tracking (key result measures, agency goals, and business and trend reporting/analysis).

Revenue. Ability to collect and process payments online, and tracking thereof.

Number	Revenue Requirements
1.	Fees for a particular license/permit can be divided between multiple groups (including third-party agencies).
2.	System allows for fee structures for varying permits and licenses.
3.	System allows for unique fee structures (formulas) may be applied for each fee assessment instance.
4.	System can be configured for account structures for the various departments and payment types (similar to a general ledger account structure).
5.	The system allows for on-line (Internet) payment of fees (processing fees, fines, and other costs).
6.	The system allows for reporting on all fees.
7.	The system allows for reporting on outstanding fees due in any of the collection areas.
8.	The system can support cashier type functionality for fee payment (receipts, etc.).
9.	The system shall have the ability to track, process, and collect all fees related to disciplinary actions.

Role-based Access. Capability to establish different roles that have specially configured access rights to data/functionality, and the ability to assign users to these various roles.

Number	Role-based Access Requirements

Number	Role-based Access Requirements
1.	The system allows each unit to have their own user structure and access/security configuration settings (including giving access rights to specific functions of the system unique to their areas of expertise)
2.	The system allows for a robust user rights setup structure (for security to various features of the applications and for access to defined data, etc.)
3.	The system allows for custom home page definition per individual user preferences. Various components of the system can be viewed/accessed through the home page (providing the user has security privileges to those components).
4.	The system allows for role-based home pages/portlets to view and manage related assigned activities to an individual user type (i.e. pending complaints for review for schedulers, pending inspections for investigators, reports for managers, etc.) This will include user defined fields (including radio buttons, check boxes, pull-down pick lists, etc.) Please include user defined field options available.
5.	The system allows the user to assign one or more roles to a user and the geographic area(s) they work in (such as investigators responsible for a certain zone, etc.)

Scheduling. Capability to capture and track events (e.g., inspections, investigations) to take place at locations, and responsible users, in the context of the various workflows and areas of the system.

Number	Scheduling Requirements
1.	Investigators have the ability to schedule appointments with the licensees, applicants, or owners.
2.	System will provide preferred routing maps for investigators and the ability to override system generated maps.
3.	The system allows for establishment time expectations for examinations, inspections and disciplinary proceedings. In the event these expectations are not fulfilled, system will have configurable rules for notification of managers.
4.	The system allows for investigators to view their individual schedule on the web based application and the field application.
5.	The system allows for managers to view all investigators schedules on the web based application, grouped by inspection type, and/or investigator specialization.
6.	The system allows for printing out individual investigator's daily schedule.
7.	The system allows the agency to search and select investigators based on defined geographical assignments and skill sets, these settings can be modified and adjusted.
8.	The system allows the user to schedule appointments with licensees, applicants or owners and transmits requests for meetings electronically (via e-mail, fax, etc.). If licensee, applicant or owner does not have electronic capabilities, the system notifies the user and requires printing of the notification for mail routing purposes.
9.	The system will perform scheduling tasks on a 7 day by 24 hour period
10.	System allows for the scheduling of an application for a hearing and board meeting. Must show available dates and times for selection.
11.	System must provide hearing calendar and/or report as needed for any defined date period.
12.	System allows you to select the hearing body, duration, date, time and location for a hearing then system will show all available values from predetermined availability calendar.

Workflow. Capability to flexibly configure and easily re-configure business rules and process steps to occur within different functional process areas.

Number	Workflow Requirements

Number	Workflow Requirements
1.	The system will be initially configured for Licensing and Disciplinary workflows according the diagrams in Appendix B.
2.	The system allows an administrator/manager the ability to configure and define escalation workflow rules based on definable work criteria.
3.	Workflow must include time tracking.
4.	Workflow must include ability to free form comments or predefined and categorized text such as statutes, regulations, etc.
5.	Configured workflows must be able to be seen in text and flow chart form.
6.	System must maintain a history or audit of all workflow actions.
7.	Application will need the ability to attach scanned documents to each client record such as Microsoft Word reports or .pdf files.

Administration. The capability to manage roles, module access, data and business rules within the system.

Number	Administration Requirements
1.	The capability to manage roles, module access, data and business rules within the system.
2.	The solution shall provide the ability to place an account into an administrative hold, or "flag" the account for investigative or administrative actions. Application will provide a reason code for an application flag. Application will have varying levels of security to allow manager and supervisors to remove flags. All divisions should be able to see the application flag and comments in the system. It should also stop all application options until issue is resolved

Help. The capability to support users with context-sensitive, online Help functionality containing agency-specific terms.

Number	Help Requirements
1.	The capability to support users with context-sensitive, online Help functionality containing agency-specific terms.

Notification. The capability to make notifications to system users that are both manual and automatic based, on user definition.

Number	Notification Requirements
1.	The system provides automatic email notification capabilities.
2.	The system has the capability to make notifications to system users that are both manual and automatic based, on user definition or business process.

Publishing. The capability to print/publish report to various outputs such as a printer or an electronic file, and in various formats such as PDF and MS Word.

Number	Publishing Requirements
1.	The capability to print/publish reports to various outputs such as a printer or an electronic file, and in various formats such as PDF, MS Excel and MS Word.

Search. The capability to find specific files, i.e., applications, licenses, permits, cases, based on various criteria.

Number	Search Requirements
1.	System must not have a fixed selection of search fields.
2.	System should have the flexibility for user configuration including adding new searches as required.

Technical Requirements

The technical requirements for NYSLA to achieve the scope are defined below.

Integration. Allow standards-based integration with external systems

Number	Integration Requirements
1.	The system supports third-party system integration through documented and supported open system interfaces.
2.	System supports open data sources for application integration capabilities.

Data Migration. Tools and processes to enable business data to be migrated into system form several retiring legacy systems

Number	Data Migration Requirements
1.	Data conversion is handled through standard import functions in the system.
2.	Data import tools will be capable of migrating the NYSLA data extract files in a timely fashion.
3.	Data is to be migrated from the existing NYSLA database into the new system. This is a one-time migration. Data imports will include the importing of all existing Informix data and images.
4.	System supports provides standard data loading technologies (xml, comma delimited, etc.) – note all supported data structures for loading.
5.	The system enforces table cross-reference key structures for all loaded data elements
6.	The system provides a means to verify all loaded data prior to final acceptance into the production database.

Security and Data Access. Provide secure access to data and files.

Number	Security and Data Access Requirements
1.	System provides secure access to data and files.
2.	System leverages role-based access configuration settings to control access to data and files.
3.	Compatible with single sign-on (SSO) systems and provides the ability to share an existing or migrate to a future SSO user store.
4.	Enable each user to be uniquely identified in the system by ID.
5.	Support basic authentication through use of passwords.
6.	Provide the ability to encrypt transmitted data and authentication information over internal and external networks.
7.	Provide support for SSL 128-bit encryption.

System Administration. System Administration capabilities such as user account maintenance, access/privileges maintenance, and other system administration capabilities.

Number	System Administration Requirements

Number	System Administration Requirements
1.	System must allow for configuration and display to meet the needs of specific roles or groups, i.e. their own "look and feel".
2.	System must allow changes to labels and ordering in display sections.
3.	The solution shall allow for individual department configuration (for security, user structures, case type, license type and user access rights) in a single installation architecture

User Interface. Provide a standard, consistent graphical user interface.

Number	User Interface Requirements
1.	The user interface is a thin-client architecture (users access the system through a web-browser)
2.	System can be configured to meet the New York State look and feel (UI) standards for all public facing portals.

Client Configuration. Effective system operation on client desktops running Windows XP and Windows Vista and retention of upward compatibility.

Number	Client Configuration Requirements
1.	Effective system operation on client desktops running Windows XP or Vista and retention of upward compatibility

Server Configuration. Effective system operation on standard servers.

Number	Server Configuration Requirements
1.	The system is supported by commonly utilized operating systems (Windows, etc.) – please note all supported systems and for what components of the multi-tiered architecture

Hardware. Support for PC based servers and desktops, and approved mobile devices.

Number	Hardware Requirements
1.	The solution is deployable onto a handheld device (with wireless and docking synchronization modes).
2.	Deployed onto PC based servers and network infrastructure, located in the agency network.
3.	Staging environment and production environments available.

Database. System design using a relational database management system to prevent duplication of data

Number	Database Requirements
1.	The system is based on a relational database (i.e. Oracle, MS-Server) – please note development/standard database utilized.
2.	The system will conform to OFT/CIO hosting standards as outlined in Appendix C.

Email. Utilization of standardized Simple Mail Transport Protocol (SMTP)

Number	Email Requirements
1.	The system can automatically send e-mail messages.
2.	The system can automatically send fax messages.

Document Access/Storage. Provide flexible document access/storage capabilities, including tracking relationships between documents, workgroup level access rules, and audit trails

Number	Document Access/Storage Requirements
1.	Provide flexible document access/storage capabilities, including tracking relationships between documents, workgroup level access rules, and audit trails.
2.	The system must accommodate digital color images and have the capability to import them for viewing from any licensee or case file.

COTS Maintenance. Maintain a modular structure with rigid version control to track upgrades.

Number	COTS Maintenance Requirements
1.	System upgrades are compatible with existing data structures.
2.	System upgrades do not require complete re-configuration or new customization of processes or product.
3.	Vendor has a proven history of documented upgrade schedules and releases with a minimal of two releases with new enhancements per year.
4.	Vendor maintains a modular software structure with rigid version control to track upgrades.

Scalability. Ability to scale system to support the necessary simultaneous users for enterprise government staff as well as public citizen users

Number	Scalability Requirements
1.	Ability to scale system to support up to 100 simultaneous users for enterprise non-Internet based applications.
2.	Ability to scale system to support ample simultaneous users expected for a population of 550,000 citizens for Internet based (public access) applications.

Availability. System architecture that ensures high availability

Number	Availability Requirements
1.	System architecture that ensures high availability.

Responsiveness. Responsive to user actions within a reasonable timeframe.

Number	Requirement
1.	Responsive to user actions within a reasonable timeframe.

Backups. Support for nightly backups

Number	Backup Requirements
1.	Support for nightly backups.

Documentation. Vendor must supply system documentation in electronic formats

Number	Documentation Requirements
1.	All system and user documentation must be supplied in electronic format. Documentation for help must be easily accessed from with the system.

Accessibility. The web-based system, internet information and applications must be accessible to *persons with disabilities*.

Number	Accessibility Requirements
1.	Any web-based intranet and internet information and applications development, or programming delivered pursuant to the Contract or Procurement will comply with NYS Office for Technology Policy P04-002, "Accessibility of New York State Web-based Intranet and Internet Information and Applications", and NYS Mandatory Technology Standard S04-001, as such policy or standard may be amended, modified or superseded, which requires that state agency web-based intranet and internet information and applications are accessible to persons with disabilities. Web content must conform to NYS Mandatory Technology Standard S04-001, as determined by quality assurance testing. Such quality assurance testing will be conducted by (state agency name, Contractor or other), and the results of such testing must be satisfactory to (state agency name) before web content will be considered a qualified deliverable under the Contract or Procurement.