New York State
Department of Transportation

Request for Information (RFI) #RFI2016-04
for
Highway Work Permit (HWP) System

September 30, 2016

New York State Department of Transportation
50 Wolf Road
Albany, New York 12232
# TABLE OF CONTENTS

## Contents

1. INTRODUCTION .......................................................................................................................... 3
   1.1 RFI Contact Information ................................................................................................. 3
   1.2 RFI Schedule .................................................................................................................... 4
   1.3 Administrative Guidance for Respondents ...................................................................... 5
2. BACKGROUND ......................................................................................................................... 5
   2.1 Current Environment ....................................................................................................... 5
   2.2 References ...................................................................................................................... 7
3. STATEMENT OF NEED ............................................................................................................. 8
   3.1 Overview of Envisioned Solution ...................................................................................... 8
   3.2 Permitting Process ......................................................................................................... 9
   3.3 Geospatial /Linear Referencing System (LRS) Requirements ...................................... 10
   3.4 Standards ..................................................................................................................... 10
   3.5 Documentation Management .......................................................................................... 10
   3.6 Business Rules Management ......................................................................................... 11
   3.7 Account Management ................................................................................................... 11
   3.8 Workflow Management .................................................................................................. 11
   3.9 Financial Management .................................................................................................. 11
   3.10 Reporting Functions ...................................................................................................... 12
   3.11 System Interfaces .......................................................................................................... 12
4. INFORMATION REQUESTED .................................................................................................... 13
   4.1 Technical Solution ......................................................................................................... 13
   4.2 Response Request .......................................................................................................... 13
   4.3 Vendor Information, Organization and Experience ....................................................... 13
   4.4 Confidentiality: .............................................................................................................. 13
5. RFI QUESTIONS ....................................................................................................................... 14
6. EXHIBIT 1 ITS Technical Services and Standards ................................................................. 16
The New York State Department of Transportation (NYSDOT, or Department) hereby issues this “Request for Information” (RFI) to determine system capabilities with respect to the Department’s Highway Work Permit (HWP) system needs.

This IS NOT a Request for Proposals. No contract will emerge from this RFI.

1. INTRODUCTION

NYSDOT is seeking a statewide, standardized approach to the application and processing of Highway Work Permits. Specifically, this includes development of an outward facing web-based application and workflow management system to replace the existing permitting database as well as modernize the current paper-driven process. The existing system allows internal users to enter permit application data and generate an approved permit, while maintaining a database with limited reporting capabilities. The envisioned replacement system would allow applicants to: apply and pay for permits online; manage the project review workflows; would maintain and catalogue all plans, reports and correspondence associated with permit applications; would provide robust reporting metrics; and would integrate with or have interfaces with other business systems.

In seeking a statewide, standardized approach to the application and processing of highway work permits, NYSDOT is looking to achieve the following:

- Introduce a web-based online application to allow customers to request permits and pay permit fees
- Standardize the permit process across all NYSDOT’s eleven regions
- Manage the review process through a workflow enforced by an application, and eliminate the need for stand-alone shadow systems to keep track of workload
- Maintain and catalogue all documentation in a standardized retrieval system
- Centralize reporting and monitoring abilities with Regional reporting and monitoring
- Improve the ability to respond quickly and accurately to NYSDOT Management
- Eliminate the disparate data silos and associated data integrity issues between existing legacy systems directly related to the HWP process
- Modernize antiquated systems with newer technologies to allow for web based access
- Possible integration with mobile devices using mobile applications
- Locate all highway work permits consistently using NYSDOT Milepoint linear referencing system.

1.1 RFI CONTACT INFORMATION

Interested entities are encouraged to submit a written Expression of Interest, including a cover letter on company letterhead, characterizing their interest and background.
Information pertaining to ideas, high level concepts, design issues and practical knowledge gained from relevant experience is being sought. The Department may, at its discretion, invite interested entities to visit the Department at its Main Office, 50 Wolf Road, Albany, New York, for further discussions.

**Note: This IS NOT a Request for Proposals.** It is an invitation to provide the Department with information regarding current technologies and viable approaches to implementing a more modern state transportation highway work permit system. Additionally, responses will be used to gauge the level of interest in NYSDOT's HWP Project. Information obtained may be considered in developing functional requirements upon which a future procurement might be based. If further discussion is required or should questions arise, please contact the NYSDOT contact person listed below.

**Mail or E-mail Letters of Interest To:**

**US Mail:**
- Mr. Al Hasenkopf, CMS II
- New York State Department of Transportation
- Contract Management Bureau, 6th Floor
- 50 Wolf Road
- Albany, NY 12232
- Attention: NYS HWPS RFI #2016-04

**E-mail:** alfred.hasenkopf@dot.ny.gov
**Fax:** 518.457.8475

Respondents who mail their “Expression of Interest” are requested to additionally provide an electronic copy in .pdf format. These formats are also required for email submissions.

**NYSDOT Contact Person:**

- Mr. Al Hasenkopf, Contract Management Specialist II
- New York State Department of Transportation
- Contract Management Bureau
- 50 Wolf Road, 6th Floor
- Albany, NY 12232
- E-mail: alfred.hasenkopf@dot.ny.gov
- Phone: 518.457.1560
- Fax: 518.457.8475

**1.2 RFI SCHEDULE**

- 09/30/2016: RFI Release
- 10/12/2016: Questions Due
- 10/19/2016: Answers from NYSDOT Anticipated
- 10/26/2016: RFI Responses Due
- Week of 11/7/2016: Possible Follow-Up Questions
- Week of 11/14/2016: Possible Interviews
1.3 ADMINISTRATIVE GUIDANCE FOR RESPONDENTS

NYSDOT desires a concise response which conforms to the requested information described in Sections 4-5 of this document. Should you choose to submit a response to this RFI, you are asked to provide in Microsoft Word format one original and one electronic copy of the submission to the attention of the contacts specified above. Responses should be organized into two sections:

(1) Corporate information, including company name, contact name and title, phone, email address, main office location, and mailing address.

(2) Response to desired features, as indicated in Sections 4-5 of this document.

2. BACKGROUND

2.1 CURRENT ENVIRONMENT

Any work or temporary occupancy that takes place on or within New York State highway right-of-way must be done under the terms and conditions of a Highway Work Permit (HWP) issued by the New York State Department of Transportation (NYSDOT, or the Department). Permits are issued for a wide range of work operations, which include the construction of residential and commercial driveways, construction or maintenance of utility facilities, installation of signs or private traffic signals, various maintenance operations, and a number of other miscellaneous activities. The department issues approximately 6,000 HWP each year, from eleven (11) regional offices, or from the central office for work operations of a statewide nature.

In 2014, the NYSDOT Highway Work Permit process was an initial focus of the Governor’s NYS LEAN Initiative, in an attempt to streamline the highway work permit application and review process, and improve customer service. As a result, a number of process improvements have already been identified and implemented, while additional process improvements continue to be identified. The envisioned solution should address several deficiencies identified with the existing HWP system.

The current process for review and approval of a HWP is largely undertaken manually. The application process often begins with a phone call or a meeting seeking information on how to proceed. Formal and informal applications are received in regional offices or at maintenance residencies, by mail, email or are hand delivered. The HWP application process is available via NYSDOT website (to access, see below for link). Applicants are asked to submit multiple copies of design plans and/or electronic files. An actual signed application form may or may not accompany the initial submission, and is often not submitted until the project has been reviewed and is ready to be approved. The review process, which can be lengthy and involve a great deal of correspondence, design plan revisions and studies, is often tracked manually, using various spreadsheets or other time consuming methods.

Depending upon the NYSDOT region involved, and the type of permit operation being requested, the NYSDOT person reviewing the application may be in the regional office, or in one of the county based maintenance residencies. This can vary based on staffing levels, capabilities and regional practice. In the regional office, the reviewer is the Regional Permit
Engineer, who is part of the Office of Traffic Safety and Mobility, and reports to the Regional Traffic Engineer. At a maintenance residency, permits are typically reviewed by an Assistant Resident Engineer, who reports to a Resident Engineer and the Regional Director of Operations in the Office of Transportation Maintenance.

The reviewer will initially check the materials submitted for completeness, identify the applicants contact information, and may often circulate the plans to others in the region for their review and input, depending on the complexity of the project or any specific areas of concern. Once a review is complete, the reviewer, or the regional permit engineer will respond to the applicant for clarification or further information, or ask for corrections to be made. A cycle of submission, review and response continues, until the reviewer and the applicant have reached an acceptable design for the proposed project. At that point, a set of final plans will be submitted, along with the permit application and any other necessary documents, proof of liability insurance and other financial security, and a check for payment of the permit fee. The region then enters all necessary information into the HWP database, approves the permit and prints the permit document. This work is usually completed in the regional office.

Throughout this process, there is no data associated with the review, and consequently there are no metrics available to identify areas in need of further process improvement. The department’s Main Office program management has very limited visibility into the review process, and is only aware of a permit once it has been approved and issued.

HWPs for the majority of work operation types are charged a set financial fee. Certain utility operations charge a base fee, and a calculated unit fee based on distance. Other operations charge a set fee per unit, such as an annual permit that charges a set fee for each county covered by the permit.

The largest commercial driveway/access permits require extensive design review and other involvement, as they typically require traffic impact mitigation on the state highway system. For these permits, an initial fee is collected as a deposit with the actual NYSDOT staff hours involved in reviewing the project tracked using the department's timekeeping system. Any remaining balance for engineering review charges over and above the deposit is then billed to the permittee.

Utility customers, who frequently obtain HWPs, are allowed to charge permit fees to an account, rather than submit a check with each application. Utility accounts are then billed monthly. All other permittees are currently required to pay the permit fee by check.

The Office of Traffic Safety & Mobility issues a variety of other permits, which are similar in many respects to the highway work permit, including Special Use Permits for events such as road races or parades. There are also permits issued for privately owned traffic signals on the state highway, which are often associated with large commercial developments, and involve staff from the Traffic Operations Bureau in reviewing the design and in obtaining signal components. Traffic Operations Bureau also issues permits for Law Enforcement Equipment, such as red light cameras and surveillance equipment.

The legacy HWP application does not meet NYSDOT needs for an externally facing on-line permitting application, nor does it adequately capture workflow information. It can only
track workflow activity when manually updated, which is not possible for most permits. This provides very limited information on specific permit details to program area management in the main office. In addition, it uses technology that can’t be accessed external to NYSDOT and doesn’t include workflow functionality needed to support the process. This results in regions developing their own stand-alone processes utilizing spreadsheets and other “shadow systems” for tracking the progress of permit reviews. Regional staff generally spends a great deal of time keeping track of permit reviews, and other non-value added activities.

To modernize its HWP process, NYSDOT is seeking information regarding possible solution(s) which allows permit applicants to apply and pay for highway work permits through an externally facing web based application. The ideal solution should also support related data quality improvements to drive better performance, tracking and reporting metrics and other initiatives to improve agency process management and customer service. A possible solution needs to provide a mechanism to manage and catalogue permit documents (i.e. design plans, specifications, and correspondence, associated with permit applications) and also allow for the possibility of adding mobile application functionality for some program elements as well.

2.2 REFERENCES
The following current NYSDOT web page provides further details on the current permitting processes at NYSDOT. Particular emphasis should be on the sections “Highway Work Permits” and “Other Permits”

https://www.dot.ny.gov/permits
3. STATEMENT OF NEED

3.1 OVERVIEW OF ENVISIONED SOLUTION: FIGURE 1

This section provides a high level description of what NYSDOT envisions a possible modern HWP system (or business model) depicting what users need to do to accomplish to satisfy HWP business goals. Figure 1 is a context diagram showing the data and users that will interface with a future HWP system.

NYSDOT envisions that HWP functionality will include:

- On-Line Permit application (information, process)
- Permit submittal, review and issuance process
- Documentation management (FileNet integration)
- Workflow management
- Business rules management
- Financial management (SAGE, ACH, Credit Card integration)
- Reporting functions (Within system along with feeding a data warehouse)
- Location management (specifically linear referencing using NYSDOT’s ESRI Roads and Highways environment)

Successful implementation of an envisioned solution will not only support NYSDOT goals and departmental missions, but will seek to achieve the following business objectives:
• Introduce a web-based on-line application to request permit applications and electronically and securely pay permit fees.
• Standardize the highway work permit process through a workflow enforced by an application.
• Prevent potential accidents by providing access to/interfaces with accurate traffic, accident, capital project and other related data for reviewing permit applications.
• Reduce analysis time with additional data available in a centralized system.
• Centralize reporting and monitoring abilities while maintaining regional monitoring and reporting capabilities.
• Improve the ability to respond quickly and accurately to NYSDOT Management.
• Eliminate the disparate data silos and associated data integrity issues between existing legacy systems.
• Modernize antiquated systems with newer technologies to allow for web based access and possible integration with mobile devices using mobile applications.
• Ensure business entities remain viable while NYSDOT is completing design reviews / inspections.
• Migrate existing HWP data/records to new system, including migration of archived records
• Consolidate and simplify system interfaces through the common location reference (Milepoint LRS) and the related capabilities of the ESRI Road and Highways platform.

3.2 PERMITTING PROCESS

The permitting process includes submission, review, approval or disapproval of permit applications.

Users include both internal users (NYSDOT staff) and external users (HWP applicants and their representatives).

The process will be managed through a workflow, so internal users will have access to the functions needed to complete their portion of the process.

There are currently three types of permit applications that are used to apply for different types of highway work permits:

• PERM 32 – Permits to cover utility installation, maintenance, repair, after construction work, and miscellaneous utility work impacting the state highway system.
• PERM 33- Permits to cover non-utility work such as residential driveways, improvements, tree work, operations, encroachment, demolition, adopt-a-highway, and other non-utility work impacting the state highway system.
• PERM 33-COM – Permits to cover commercial projects impacting the state highway system.

An optimal solution should be designed to allow other permit types and workflows to be added as needed, including special event permits for races and parades that currently use the PERM 33a and other applications.

The envisioned solution should be flexible enough to allow use by New York State municipalities for their permitting needs in the future.
### 3.3 GEOSPATIAL /LINEAR REFERENCING SYSTEM (LRS) REQUIREMENTS

Permit applicants should establish or select a permit location using NYSDOT’s existing Esri ArcGIS and Roads and Highways environment (currently at version 10.3.1). Based on business rules and the permit type, the permit location may be a single point (such as a residential driveway), or a linear segment of roadway on the LRS. The system should:

- Extend the current NYSDOT ESRI Roads and Highways environment to provide a browser based GIS interface for external users to enter, edit or remove highway permit locations on NYSDOT’s Milepoint LRM as part of the permit application process. Similar functionality shall be provided to authorized NYSDOT users to add or edit permit locations during the review process.
- Allow the user to find and zoom to a place, address, feature, or specific permit location.
- Allow users to toggle layer visibility of various layers that support the process of locating the permit (e.g. NYS Orthoimagery, NYS Reference Markers and State Highway (SH) numbers)
- Collect and store an unlimited number of Milepoint or locations for a given project and all locations should appear on the map and in an associated list that allows the user to select a specific location to edit or delete.
- Automatically and appropriately update permit Milepoint locations as the NYSDOT Milepoint LRS network is maintained by NYSDOT in the Roads and Highways environment.
- Provide capabilities to spatially query other NYSDOT system based on proximity to a permit location (e.g. accident rates within 500 feet of the permit location)
- Provide a GIS layer of permit locations with associated information from the system shall be made available to the NYS GIS community.

More information on Esri Roads and Highways and Linear Referencing:


### 3.4 STANDARDS

- NYS Information Technology Services (ITS) Technical Services and Standards herein attached as Exhibit 1 ITS Technical Service & Standards should be followed should NYSDOT issue a Request for Proposals requesting HWPS solutions.

### 3.5 DOCUMENTATION MANAGEMENT

The Documentation Management capability enables permit applicants, permittees, or other members of the applicant’s team to submit supporting documentation with their permit applications, a desired feature of NYSDOT’s future HWP system. Users should be able to upload electronic documents to HWP as necessary at any point in a permit application workflow. The system should provide the ability to upload, scan, store, archive, and retrieve documents associated with an application or any related permits. A reportable audit trail should exist for
each document, including upload, modification, access, and delete dates. The NYS standard for document management is FileNet, an interface to consider should NYSDOT issue a Request for Proposals requesting HWPS solutions. *For further information, refer to Exhibit 1 ITS Technical Services & Standards.*

### 3.6 BUSINESS RULES MANAGEMENT

The Business Rules Management capability enables creating, modifying and deleting business rules relating to business processes, another desired feature of NYSDOT’s future HWP system. This capability should provide a business rules authoring toolset to design, modify, test, deploy, and execute business rules separate from the application code. It should include a rules repository capable of tracking and reverting to older rule versions and tracking changes to rules based on the system user. *For further information, refer to Exhibit 1 ITS Technical Service & Standards.*

### 3.7 ACCOUNT MANAGEMENT

NYSDOT’s future HWP system should feature an Account Management capability which should support managing the applicant, permittee, or applicant team account information, including business name, point of contact, addresses, phone numbers, and email addresses. *For further information, refer to Exhibit 1 ITS Technical Service & Standards.*

### 3.8 WORKFLOW MANAGEMENT

NYSDOT’s future HWP system should feature Workflow capability which supports both automated and non-automated tasks and enables:

- Authorized users to define the business processes to be managed by the workflow system
- Authorized users to assign roles to various internal users
- Executing the defined processes to get work done
- Ensuring that work can be moved through the defined process
- Triggering automatic email notifications
- Monitoring the progress of work at a management level
- Creating a user desktop to visually manage personal workflow
- Creating and maintaining permit workflows to reflect business rules for each permit type

*For further information, refer to Exhibit 1 ITS Technical Service & Standards.*

### 3.9 FINANCIAL MANAGEMENT

NYSDOT’s future HWP system should feature a Financial Management capability which should provide permit revenue and fund tracking support. Payments for permits should be performed by interfacing with the New York Business Exchange. This should enable users to utilize credit cards or other forms of Electronic Funds Transfer to pay permit fees, such as ACH or eChecks. The Financial Management capability should allow authorized NYSDOT users to process refunds to permittees. *For further information, refer to Exhibit 1 ITS Technical Service & Standards.*
3.10 REPORTING FUNCTIONS

NYSDOT’s future HWP system should feature a Reporting capability which should enable generating pre-defined reports, ad-hoc queries and reports, and dashboards, as well as email correspondence generation. The Reporting capability should also allow for automatic notifications to applicants, permittees, or NYSDOT staff when business rules have been triggered. For further information, refer to Exhibit 1 ITS Technical Service & Standards.

3.11 SYSTEM INTERFACES

A solution for a future NYSDOT HWP system should interface with the following other New York State systems:

- NY Business Exchange (NYBE) – provide relevant information regarding businesses including their status to do business within NYS and their NYS Business ID. This exchange should also provide the mechanism to collect permit fees. Individual permittees and applicants should also access HWP through the exchange but will not use the “business” functions.

- Accident Location Information System (ALIS) – the primary source of accident history and locations. Used by multiple NYS agencies to collect and share accident details.

- FileNet – should provide a NYS solution for managing documents and attachments to each permit.

- LATS – the time tracking system being implemented across the state. As an alternative, the SFS DWH could be used to acquire this information.

- PRC System – the Prevailing Rate Case Number System contains information needed by contractors completing work on any state highway

A future NYSDOT HWP system should obtain related information from the following current NYSDOT systems:

- 511NY – The 511NY system is a web based tool available to the general public, identifying road closures, and planned events or planned construction that will impact state highways. This system is NYS’s official traffic and travel info source.

- SAGE – source of revenue information that tracks amount of NYSDOT employee work hours against specific permits, and amounts paid to date for permits.

- Agile Assets – a program of projects designed to increase NYSDOT enterprise asset management, which is currently under development. Primary source for Use & Occupancy information.

- Data Warehouse – Primary source of historical permit data

- HOOCS - Highway Overweight Oversize Credentialing System will send and receive permit details

- SFS DWH – Design review charges are tracked in the current TADS system, which will be replaced by the LATS system at some future date. In lieu of these system, the SFS DWH could be used to track design review charges to support HWP.

A future NYSDOT HWP system should obtain related information from the following future systems:

- GCIS – Grade Crossing Information System is being developed to track rail crossing details and would provide location details to HWP

- Worker’s Comp – This future integration would allow permit approvers to confirm insurance detail before approving a permit
4. INFORMATION REQUESTED

NYSDOT is interested in information in two primary areas:
- Potential technical solutions
- Information about potential vendors, including organizational information and any relevant experience the vendor is willing to share at this time

4.1 TECHNICAL SOLUTION

NYSDOT is interested in possible solutions which meets the desired statements presented in RFI Section 3 above. NYSDOT desires a solution that has been implemented on a large scale in a state similar to New York in size and population, and preferably, with a decentralized traffic management operation. Any selected vendor will also be required to maintain and support the implemented solution over a longer term (possibly via a separate contract). NYSDOT is interested in a solution that includes options for vendor support throughout all regions of the state. Support may be delivered by contractor employees or partner relationships with regional or local service providers. Also, virtual remote support will be considered. Both the primary contractor and any subcontractors must have the necessary training and corresponding vendor certification to adequately support the solution.

4.2 RESPONSE REQUEST

Describe any solution your firm can offer (or plans on offering in the near future) which meets the HWP system needs envisioned by NYSDOT in RFI Section 3.

4.3 VENDOR INFORMATION, ORGANIZATION AND EXPERIENCE

- Present basic information about your company, its location(s) and its recent past business practices (an annual report would suffice)
- Describe basic information regarding your company's ability to design, implement and support solution offered to clients. Feel free to provide several references regarding recent clients for which you've provided similar services to.
- Provide case studies that describe how your company has supplied similar solutions to other transportation department customers, preferable large state or municipal transportation agencies or authorities.

4.4 CONFIDENTIALITY

All RFI response materials submitted by a respondent shall become the property of NYSDOT. All materials submitted by respondents are considered agency records pursuant to New York State's “Freedom of Information Law” (FOIL) (See, Public Officers Law, Article 6). Agency records are generally available to the public upon request. However, pursuant to Public Officers Law, Section 87(2)(d), NYSDOT may “deny access to records or portions thereof that: are trade secrets or are submitted to [NYSDOT] by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise.”
In order for respondents to claim the exemption from disclosure provided by this provision of law, respondents must mark as “CONFIDENTIAL” any proprietary information contained in their RFI response that they wish to protect from further disclosure or dissemination.

By the act of submitting a response to this RFI, respondents acknowledge that: (1) the submission of the response shall be the respondent’s sole opportunity to claim such exemption from disclosure or dissemination of information contained in their response; and (2) failure to mark such information as “confidential” will constitute a waiver of confidentiality, and will release NYSDOT and the State from any liability for disclosure or dissemination thereof.

NYSDOT is charged with making the final determination concerning any exemption from disclosure claimed by respondents. In addition to so marking the information, respondents must provide NYSDOT with a detailed written justification for classifying the information as “CONFIDENTIAL”. Undocumented and unexplained claims for exemption from disclosure or dissemination shall not be binding upon NYSDOT or the State. A conclusory declaration that disclosure would be injurious will not suffice. Respondents must assert that disclosure of claimed proprietary information, their written justification for exemption, or any portion thereof would be injurious, and must provide sufficient detail to support their claim for exemption from disclosure or dissemination under FOIL.

Respondents acknowledge that NYSDOT may be required to release any such information if so ordered by a court of competent jurisdiction. In such event, the Respondent will be notified of the commencement of legal action to compel disclosure, and the Respondent must either participate in the defense of such action or waive its claim of confidentiality. Failure to participate in the defense of such action shall be deemed a waiver of any claim of confidentiality.

5. RFI QUESTIONS

The following questions are being supplied to assist with responses to the RFI. Please indicate your response to each question and rate your response in relation to how closely the response matches the question. Submit this page along with your RFI response letter.

Your ratings should be:

0 if no match or response
1 if response only covers the question partially or indirectly and no example can be provided
2 if response partially covers the question and an example can be provided
3 if response directly addresses question and an example can be provided

<table>
<thead>
<tr>
<th>#</th>
<th>RFI #2016-04 Question/Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Does your organization currently have any NYS contracts in progress, or completed any NYS contracts to date? Please list.</td>
</tr>
<tr>
<td>2.</td>
<td>Does your organization currently have any contracts in progress, or completed for</td>
</tr>
</tbody>
</table>
any other state DOTs? Please list.

3. Does your organization currently have any contracts in progress, or completed for any other Transportation customers? Please list.

4. Can you provide a list of clients or references where a close solution was implemented?

5. Is your recommendation within the scope of your business model?

6. Are you at liberty to present very high level budget and level of effort estimates for applicable previous clients? If yes, please present these ball park estimates. In addition, based on the size of a previous client’s project, can you provide rough schedule information by project phase for applicable previous clients?

7. Does your organization have any experience with any governmental agencies? Please list.

8. Does your organization have a Commercial Off the Shelf (COTS) product (or products) available that generally meets the needs described in the Capability section of the RFI?

9. If COTS, is it highly configurable?

10. To what extent does your organization have experience with GIS?

11. To what extent does your organization have experience with Linear Referencing Systems (LRS)?

12. To what extent does your organization have experience with Esri Roads and Highways?

13. We will consider innovative solutions that integrate within the NYS Datacenter. What additional options are possible for you to offer? Do you have experience with Applications in the NYS Datacenter?

14. To what extent does your organization have experience with NYS ITS and NYS system standards?

15. To what extent does your organization have experience with the New York Business Exchange (NYBE) or integrating with My NY.gov Online Services? (NY.gov ID)

16. Does the business solution information that you could provide allow for fee calculation, fee collection, and fee refunds?

17. Can the business solution information that you could provide be accessed by the general public, as well as accessed by internal NYSDOT users?

18. Does the business solution information that you could provide employ role based security to limit functions based upon the role assigned?

19. Does the business solution information that you could provide allow NYSDOT to configure new workflows or permit types, or edit existing ones through an administrator interface?

20. Does the business solution information that you could provide allow NYSDOT to establish, implement, edit or remove business rules through an administrator interface?

21. Does the business solution information that you could provide allow applicant teams as well as individuals to apply for permits?

22. Does the business solution information that you could provide allow for secure messaging between NYSDOT and the applicant?

23. Does the business solution information that you could provide allow the applicant and NYSDOT to upload, store, and view documentation, integrating with FileNet?

24. Does the business solution information that you could provide allow for configurable notifications to alert users to waiting messages or status changes to permit?

25. Does the business solution information that you could provide an audit trail of changes?

26. Based upon your expertise, what recommendations would you make to NYSDOT to
<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>27.</td>
<td>What are the minimum user technical requirements to support your solution?</td>
</tr>
<tr>
<td>28.</td>
<td>What are the minimum bandwidth requirements to support your solution?</td>
</tr>
<tr>
<td>29.</td>
<td>How would you envision providing training and support to the various Regions spread geographically throughout New York State? User manuals, training documentation available?</td>
</tr>
<tr>
<td>30.</td>
<td>How would you describe your firm’s capabilities and capacity for training and support, both during and after implementation?</td>
</tr>
<tr>
<td>31.</td>
<td>How would you describe your firm’s philosophy and approach to training and support for solutions offered to clients? Give examples of previous experience</td>
</tr>
<tr>
<td>32.</td>
<td>What are typical training costs incurred during rollout of the product?</td>
</tr>
<tr>
<td>33.</td>
<td>If you have a COTS product, how are the licensing costs allocated? (Per Seat, Per User, or Enterprise License) What are the costs involved?</td>
</tr>
<tr>
<td>34.</td>
<td>What type of licensing or sharing arrangement would you envision if the department elects to share the system with local governments for their own use? What options are there to consider and what would the possible impact on pricing be?</td>
</tr>
<tr>
<td>35.</td>
<td>Is your envisioned technical solution compatible with mobile devices? Does your solution require a separate application for mobile devices or is the code base shared with the main application. Please provide details.</td>
</tr>
<tr>
<td>36.</td>
<td>Does your organization have a recent experience subcontracting with certified DBEs? Does your organization have a recent experience subcontracting with MBEs and/or WBEs? In NYS?</td>
</tr>
<tr>
<td>37.</td>
<td>Is your organization aware of NYS’s effort to promote diversity practices among its contracting community? If yes, to what degree, generally speaking, is your organization currently practicing diversity practices?</td>
</tr>
</tbody>
</table>

6. **EXHIBIT 1 ITS Technical Services and Standards**  
(On Line; Separate PDF Document)