

Proposals Due: August 28, 2014 by 5:00 PM Eastern Time*

NYSERDA is seeking a Contractor to assist in upgrading its Oracle PeopleSoft Financials software from version 9.0 to version 9.2. Modules currently in use include General Ledger, Commitment Control, Accounts Payable, Accounts Receivable, Billing, Customer Contracts, Asset Management, Project Costing, Purchasing, and Supplier Contract Management. NYSERDA anticipates implementing the new module eSupplier Connection as part of this project. The goal is to complete the upgrade for a go-live date no later than June 30, 2015.

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment F to this RFP.

All proposals must be received by NYSERDA by 5 pm on August 28, 2014. If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

**Roseanne Viscusi, RFP 2986
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

Proposers may submit questions in writing to NYSERDA pertaining to the RFP. Questions must be directed to RFP2986@nyserda.ny.gov with the subject line "RFP 2986 Question." Questions may be submitted at any time before 5:00p.m. August 12, 2014. NYSERDA will post all questions anonymously, along with NYSERDA responses, at (<http://www.nyserda.ny.gov/RFP-2986-Consulting-Services-for-PeopleSoft-9-2-Upgrade-Questions-and-Answers>) no later than August 15, 2014. If you have contractual questions concerning this solicitation, contact Doreen Knudsen (518) 862-1090, ext. 3216 or doreen.knudsen@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Cheryl Earley (Designated Contact) at (518) 862-1090, ext. 3295 or cheryl.earley@nyserda.ny.gov or Greg Frank (Designated Contact) at (518) 862-1090, ext. 3510 or gregory.frank@nyserda.ny.gov. Contacting anyone other than these Designated Contacts (either directly by the Proposer or indirectly through a lobbyist or other person acting on the Proposer's behalf) in an attempt to influence the procurement: (1) may result in a Proposer being deemed a non-responsible offerer, and (2) may result in the Proposer not being awarded a contract.

*Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.

Table 1: Proposed Schedule of Events		
Activity	Date	Comments
RFP released	July 31, 2014	
Questions due to NYSERDA	August 12, 2014	Questions must be in writing
Responses to questions due back from NYSERDA	No later than August 15, 2014	Written answers will go to all Proposers
Proposals Due	August 28, 2014, 5:00 PM	Late proposals will be returned
Oral Presentations	Weeks of September 22 and 29, 2014	Estimated - Selected Proposers only
Contractor Selected	October 10, 2014	Estimated
Contractor onsite at NYSERDA	November 1, 2014	Estimated

I. INTRODUCTION

NYSERDA is seeking to upgrade its Oracle PeopleSoft Financials and Supply Chain Management (FSCM) software from version 9.0 to version 9.2 prior to June 30, 2015, the expiration of Oracle support of 9.0. NYSERDA implemented PeopleSoft Financials and several modules of Supply Chain Management/Purchasing version 9.0 in April 2009. The current environment is described in Section II below.

NYSERDA anticipates implementing eSupplier Connection as part of the upgrade project

NYSERDA's goal for the project is to maintain and migrate all existing data, functionality, processes and reports to the new versions. Exceptions will be made if discovery of any new functionality and changes in the new versions result in NYSERDA's desire to switch to the new delivered enhancement. Additionally, NYSERDA is committed to continuing to improve its current business processes in order to keep them aligned with leading practices. NYSERDA is willing to consider changes to policies, procedures, and rules to minimize the need for keeping and migrating current customizations, or reduce the need for new modifications and customizations during the upgrade effort.

II. CURRENT PEOPLESOFT ENVIRONMENT

A. NYSERDA initially implemented 11 modules in April 2009 including:

- General Ledger
- Commitment Control
- Accounts Payable
- Accounts Receivable
- Billing
- Customer Contracts
- Asset Management
- Project Costing
- Purchasing

- Supplier Contract Management
- Strategic Sourcing (module eliminated in February 2014 and is no longer used)

B. Technical Environment: Currently hosted offsite Mindshift. This will not change for the upgrade and beyond.

- NYSERDA is using Oracle PeopleSoft PeopleTools 8.52 and anticipates upgrading to PeopleTools 8.53 or the latest version as part of the upgrade process.
- NYSERDA’s PeopleSoft environment resides on Windows Server 2008, SQL Server 2008 R2 database. NYSERDA anticipates upgrading to Windows Server 2012 and SQL Server 2012 database before the Contractor is onsite.
- Phire version 7.1 is used for NYSERDA's Change Management System.

C. Current Transaction Data details:

The current NYSERDA PeopleSoft environment includes 350 active users including program staff, contract staff, finance staff and other administrative users. There are approximately 45,000 active vendors, 58,000 Purchase Orders, 340,000 vouchers, 30,000 supplier contracts and 1,400 Requisitions.

D. Current Customizations in Use:

NYSERDA is moderately customized and Table 2 below is an approximate number of customizations done to its PeopleSoft system. This list does not include objects such as process definitions, queries, permission lists, portal definitions etc. NYSERDA is currently working on a few additional customizations and the numbers shown below may vary by the time the selected proposer is on-site. Table 2 below should only be used as a rough estimation and does not represent the final list of customizations. The final customization list will be based on the Fit-Gap Analysis to be done by the selected proposer as part of the scope of services.

New Object represents the approximate number of new objects created/customized. Delivered Object represents the approximate number of PeopleSoft delivered objects customized. Total represents the total approximate number of objects customized.

Object Type	Total	New Object	Delivered Object
Activity	7	3	4
Application Engine Programs	23	20	3
App Engine Sections	56	50	6
Application Package	1	0	1
Approval Rule Sets	5	5	0
Business Process	1	1	0
Components	40	34	6
Component Interface	11	10	1
Field	100	70	30
File Layout	1	0	1

File Reference	40	38	2
Images	2	2	0
Menu	10	1	9
Page	80	55	25
Record	140	110	30
Page PeopleCode	25	15	10
Application Engine PeopleCode	30	29	1
Component PeopleCode	5	0	5
Component Record Field PeopleCode	25	18	7
Component Record PeopleCode	2	0	2
Application Package PeopleCode	10	0	10
Record PeopleCode	250	145	104
SQL	170	110	60

III. REQUIREMENTS

A. **Proposer Eligibility**

At a minimum, Proposers must have prior experience assisting clients in upgrades of PeopleSoft FSCM to 9.0 or higher. PeopleSoft v9.2 experience is strongly preferred by NYSERDA. Proposers must also have prior experience implementing the e-Supplier Connection module. Details of this experience must be provided as part of the Proposer’s response under Section IV, Proposal Requirements, Section 2.B.

B. **Scope of Services**

The selected Proposer (hereinafter referred to as “the Contractor”) shall be required to deliver, at a minimum, the following:

1. Fit-Gap Analysis

The Contractor shall conduct a Fit-Gap Analysis which will include, but not be limited to, the following. The Fit-Gap Analysis is comparison, analysis and documentation of the entire current environment to the desired environment to support FSCM 9.2 with a roadmap for the project and future recommendations. Based on the results of the Fit-Gap Analysis, NYSERDA may decide to implement enhancements in multiple phases.

1. Assessment

i. Technical Components

Servers, network

Databases

PeopleTools

Online

Customizations

Interfaces

Third party software

Database scripts
Batch programs
Reports
Security
Online processing

ii. Functional Components: comparison of current business processes

2. Analysis: analyze all fit-gap data and prepare report (“Fit-Gap-Report”) which will include documenting:

i. Technical Environment: provide detailed documentation for the following. The documentation shall be at a level of detail to provide NYSERDA a solid foundation for design and development.

Additional hardware needed

Additional software needed

Recommendation for database instances to be used during upgrade

Maintenance plans for patches to PeopleTools during upgrade process

Data conversion and verification plan

Plan to minimize production performance impact during upgrade

Recommendations for freeze point(s) for patches and customizations to the application

Customizations that could be retired

Customizations that need retrofitted

Changes to reports, online and batch processing

Changes to current databases and database scripts

Changes to current interfaces

Changes in use of current third party software

ii. Functional Environment: provide detailed documentation by module (General Ledger, Commitment Control, Accounts Payable, Accounts Receivable, Billing, Customer Contracts, Asset Management, Project Costing, Purchasing, Supplier Contract Management, and eSupplier) with specific recommendations. The documentation shall be at a level of detail to provide NYSERDA a solid foundation for design and development of:

Recommendations for any new delivered functionality in both currently used modules and the new module that, if utilized, could benefit NYSERDA.

Business process flows and required changes in current business processes to "fit" the recommendations

Business process flows and procedures in PeopleSoft for possible automation of current manual processes

Deliverables:

- Walkthrough draft Fit-Gap Report with Project Team
- Submit final Fit-Gap Report for NYSERDA approval

2. Project Management: The Contractor shall develop and refine the Project Management Plan and supporting documents. The Contractor shall conduct all project activities as outlined in the final approved Project Management Plan (e.g., follow the approved issues management plan to escalate issues to NYSERDA project management). The Contractor shall review and assess the Project Management Plan at regular intervals to track, report progress and make necessary adjustments to processes and products based on Approved Change Requests.

The Project Management Plan shall include the following:

1. **Kick Off:** Before NYSERDA subject matter experts can assist with the upgrade, they must be acquainted with and trained on the tools available to them for comparison of the current state to the new release. The Contractor shall provide a kick-off meeting which will include:
 - i. overview of the project
 - ii. roles and responsibilities
 - iii. the use of available tools
 - iv. contact person for questions
2. **Scope Management:** Table 5 presents the minimum required final deliverables. Based on Table 5, build a Work Breakdown Structure (“WBS”) with the major deliverables broken down into manageable work packages and a WBS dictionary that describes each deliverable and sub-deliverable. Detail the Scope Change Management process and the Technical Configuration Management process including the migration path of development through databases with rules associated with each instance.
3. **Schedule Management:** Based on the WBS, refine and define the activities needed to complete the project. Describe how the schedule will be monitored and the approaches to performance reporting that will be submitted to NYSERDA. Produce a Gantt schedule for the project.
4. **Quality Management:** In addition to describing the approach to ensuring quality project processes, document the testing approach for both current and new functionality including development of test scripts, preparation of testers, preparation and of testing instance(s), seeding and refresh of testing database(s) to provide appropriate data, tracking strategy and rework approach, categorization of defects and resolution approach, success criteria for Functional Unit testing, System Integration testing and User Acceptance testing.
5. **Risk Management:** Document the approach to identifying and assessing risks. Include an Issues Management plan and escalation procedure. Develop a Risk Register.
6. **Communications Management:** include communications strategy for end users, project manager, project team, Chief Information Officer (“CIO”) and executive sponsor. Include a Report and Meeting matrix.
7. **Resource Management:** Document the training approach (end users, technical staff) and NYSERDA upgrade team knowledge transfer plan
8. **Stakeholder Management:** Document stakeholders and how the upgrade will impact

them. Include an Organizational Change Management Plan for all stakeholders including the project team, project manager, end users, NYSERDA CIO, NYSERDA Executive Sponsor and vendors to be used in an eSupplier pilot. Document roles and responsibilities of all key stakeholders.

Deliverables:

- Walkthrough the Draft Project Management Plan and supporting documents with the Project Team
- Submit the Final Project Management Plan and supporting documents for NYSERDA approval

3. **Implementation**

The Contractor shall conduct implementation tasks according to the approved Project Management Plan and supporting documents including, but not limited to:

1. Create and configure the Database, Application Server, Web Server, Process Scheduler Server and load balancer for all the database instances listed in Table 3 below (“Database Instances for Upgrade”) including any new servers needed for the eSupplier implementation.
2. Document the server configurations
3. Establish v9.2 development, production and other supporting database instances as specified below. These instances do not replace database environments currently used for v9.0 development and production.

Table 3: Database Instances for Upgrade		
Database	Use	Notes
Demo	PeopleSoft Vanilla	PeopleSoft Demo data
Development	Development	Loaded with NYSERDA data
Debug	Troubleshoot	Loaded with NYSERDA data
Functional Unit Test (FUT)	Unit testing	Loaded with NYSERDA data
Systems Integration Test (SIT)	Integration testing	Loaded with NYSERDA data (with Production ready configuration, code and security)
GOLD	Master copy	Configuration data master
Training	Training	Loaded with NYSERDA data
Production	Production	Loaded with NYSERDA data (with Production ready configuration, code and security)
Phire development	Change management	Upgrade PeopleTools
Phire Production	Change management	Upgrade PeopleTools

4. Install and Upgrade PeopleSoft Application (9.2) and PeopleTools (8.53 or higher)
5. Conduct module-by-module Application setup/configuration. Document Application Setup/Configuration
6. Retrofit Code:
 - a. Based on the approved Fit-Gap Analysis of the customizations, retrofit customizations to

- ensure that any delivered and custom functionality is retained during the upgrade
- b. Based on the approved Fit-Gap Analysis, retrofit the processes, interfaces and workflow configurations.
7. Implement, integrate and configure eSupplier Connection (new module for NYSERDA).
 8. Support NYSERDA's effort in creating training documentation in Oracle's User Productivity Kit ("UPK") tool
 9. Design, develop and test system changes as follows:
 - a. Modify current customization of document Collaboration in Supplier Contract Management for sequential approvals to replace with new ad-hoc workflow approval in 9.2 (delivered workflows not initially used due to challenges with workflow routing to specific users in Contracts and Legal departments based on work assignments). The Contractor shall review current business processes and needs and assist in designing, configuring and customizing (if necessary) the collaboration and ad-hoc workflow process to fit NYSERDA's needs. It is anticipated that these may include both concurrent and sequential approval/collaboration options.
 - b. Implement electronic contract approval. As part of the upgrade project, NYSERDA is planning to implement electronic signatures for supplier contract documents, both internally and externally. The Contractor shall implement the eSupplier Connection module and setup and configure the system to allow the supplier contract documents to be routed to specific vendors for electronic signature and also allow for collaborating on the documents. The Contractor shall establish overall security (including fixing any risks identified by NYSERDA's independent intrusion testing) and adhere to all standards and internal controls for eSupplier Connection, setup online registration system, create template for online registration and ensure all the requirements are met for transitioning the eSupplier connection to NYSERDA's vendors.
 - c. Implement delivered approval process/workflow for budget amendments and transfers.
 - d. Design, with the assistance of NYSERDA technical and functional staff, and implement meaningful "Dashboards" for up to 10 functional roles.
 - e. Design, with the assistance of NYSERDA technical and functional staff, and implement meaningful "Work Centers" for up to 10 roles.
 - f. Design and implement "Activity Guides" to cover major business processes.
 - g. Design, with the assistance of NYSERDA technical and functional staff, design and implement meaningful pivot grids that will enable staff to easily access budgetary and other financial information.
 10. Retrofit Integration and interfacing to and from as required including Payroll, Human Resource, Timekeeping and Travel & Expense Reimbursement. NYSERDA uses Automatic Data Processing ("ADP") Inc's third party products for payroll ("Pay Expert"), human resources ("HRB"), time keeping (EZ Labor Management) and the travel and expense reimbursement ("Expense Expert"). These systems are web based and are fully integrated with version 9.0. The Contractor will perform the necessary retrofits to ensure the upgraded PeopleSoft system continues to have integration with ADP's third party products.
 11. Migrate, unit test, rework, and verify all current business, module, and processing rules in the new v9.2 environments
 12. Conduct at least 2 upgrade passes with necessary testing and adjustment cycles. Testing will include unit, system, regression, system performance, and integration testing.
 13. Ensure that the business process controls, security roles and permissions continue to comply with appropriate internal controls and standards
 14. Assure all the retrofitted code, configuration, security, transactional data and workflow setup is migrated to all database instances detailed in Table 3.
 15. Perform data conversion and verification activities.

16. Based on the test plan, develop test scripts, test scenarios (including the data to be used during testing), a process to track the results, and the issue tracking and resolution process.
17. Conduct development, functional unit testing, systems integration testing and assist in user acceptance testing for the functionality in all the modules after the last successful upgrade pass.
18. Document application and business processes.

Deliverables:

- Walkthrough with Project Team: draft Functional Design documents, draft Technical Design documents, draft reports of Upgrade and Production Passes; draft Go-Live Plan, Report of End User Systems Acceptance, and Draft Report of Go-Live Activities
- Database Instances set forth in Table 3
- Final Functional Design Documents for NYSERDA approval
- Final Technical Design Documents for NYSERDA approval
- Collaboration and Workflow Processes
- Dashboards with Work centers, Activity Guides and Pivot Grids
- Production-ready eSupplier Connection module
- Functional Unit Testing, Systems Integration Testing, User Acceptance Testing
- Final Report of Upgrade and Production Passes for NYSERDA approval
- Final Go-Live Plan, final Report of End User Systems Acceptance, and final Report of Go-Live Activities for NYSERDA approval
- Complete all the tasks and activities needed for the successful Production Go Live

4. Training

1. End User Application Training: All existing end-users (approximately 350 staff) and several technical staff will receive training to allow them to transition to using the new application. These sessions will be conducted onsite at NYSERDA’s offices in Albany, NY. Computers, access to the application as required, and furnished training rooms will be provided; all other support resources and training materials are the responsibility of the Contractor.

Department	Attendees	Comments
Finance	15	1 session, Instructor led
Contracts Management	15	1 session, Instructor led
Program and Administrative Departments Staff	12 people/session for up to 300 program	Multiple sessions, Instructor led
Legal	8	1 session, Instructor led
Executive Management	5	1 session, Instructor led
Technical	5	1 session, Instructor led

Training content shall include at a minimum:

- a. Training in all currently used navigation and functionality that has been revised due to this upgrade and all newly implemented navigation and functionality (online, workflow, dashboards, pivot grids, batch processes and reports) including how to access and use the User Productivity Kit (“UPK”).
- b. New module (eSupplier Connection) training
- c. Technical training will include the new database, server and software architecture, interfaces, scripts, online and batch processing, PeopleTools, and configuration setup

- d. A webinar, to be used by NYSERDA for future training, for each Department's training listed above.
2. Knowledge transfer is required throughout the implementation of the project
- a. The Contractor shall submit documentation of all deliverables after a walk through has been completed with the team
 - b. The Contractor shall submit upgrade processes/results documentation deliverables after a walk through has been completed with the team
 - c. The Contractor shall provide documentation and walkthrough of documentation of post-upgrade responsibilities
 - d. The Contractor shall conduct and document post-go live reviews and recommendations

Deliverables:

- Student guides, training materials for instructor-led sessions and webinar, and training schedule and walkthrough with Project Team.
- Final Training Materials for NYSERDA approval
- Conduct all training sessions and submit Final Summary Training Delivery Report for NYSERDA approval

5. Maintenance and Support

NYSERDA requires the selected Contractor to provide technical and functional support for a minimum of 6 weeks following go-live. The selected Contractor will provide at least one technical lead and one or more functional subject matter experts to support the Financial and Procurement modules. NYSERDA reserves the option to extend the term of the post go-live support at its discretion.

Deliverables:

- Walkthrough Draft Post Go-Live Maintenance and Support Report with Project Team
- Submit Final Post Go-Live Maintenance and Support Report for NYSERDA approval

6. Optional Services

At its sole discretion, NYSERDA may request services in addition to those in the scope of services described above including, but not limited to, additional post go-live support beyond 6 weeks, new PeopleSoft enhancements, and integration of the PeopleSoft system with other NYSERDA program systems. The cost for optional services will be based on the hourly rates provided as part of the Proposer's response under as set forth Section IV, Proposal Requirements, Section 3. These optional services are not included in the fixed price submitted by the proposer.

Table 5: Minimum Final Deliverables	
Deliverable	Description
Fit-Gap Report	As described in Section III.B.1 Fit-Gap Analysis: includes Assessment, Analysis, walkthrough draft Fit-Gap Report with the Project team and submit final Fit-Gap Report.

Project Management Plans and Supporting Documents	As described in Section III.B.2 Project Management: includes walkthrough the draft Project Management Plan and supporting documents with the Project team and submit final Project Management Plan and supporting documents.
Database Instances	As described in Section III.B.3.1 Implementation: create and configure the database instances identified in Table 3(Database Instances for Upgrade) with the Application version 9.2 and PeopleTools version 8.53 or higher.
Functional Design Documents	As described in Section III.B.3 Implementation: includes functional design approach and details for all tasks, walkthrough the draft functional design documents with the Project Team and submit final functional design documents.
Technical Design Documents	As described in Section III.B.3 Implementation: Includes technical design approach and details for all tasks, walkthrough draft technical design documents with the Project Team and submit final technical design documents. These documents include server setup and configurations.
Collaboration and Workflow	As described in Section III.B.3.9.a, Section III.B.3.9.b, and Section III.B.3.9.c Implementation: configure and customize, if necessary, collaboration and workflow processes.
Dashboards, Work Centers, Activity Guides and Pivot Grids	As described in Section III.B.3.9.d, Section III.B.3.9.e, Section III.B.3.9.f and Section III.B.3.9.g Implementation: design and implement Dashboards with Work centers, Activity Guides and Pivot Grids.
eSupplier Connection implementation	As described in Section III.B.3.7 and Section III.B.3.9.b implement eSupplier Connection module and complete all the steps for eSupplier Connection Production readiness.
Upgrade Pass 1	As described in Section III.B.3 Implementation: includes integration with third party products (Section III.B.3.10), retrofitting, development, test scripts (Section III.B.3.16), testing (Section III.B.3.12, and Section III.B.3.17) and migrations of all components (customizations, configuration data, transactional and other table data conversion, etc.) necessary for a full upgrade and the implementation of new functionality; walkthrough of draft report of Upgrade Pass 1 with Project Team and submit final report of Upgrade Pass 1.
Upgrade Pass 2	As described in Section III.B.3 Implementation: includes issues resolution from defects/problems found in Upgrade Pass 1, walkthrough of draft report of Upgrade Pass 2 with Project Team and submit final report of Upgrade Pass 2.
Training	As detailed in Section III.B.4 Training: includes walkthrough of draft Training Plan with the Project Team; student guides, training materials for instructor-led sessions and webinar, and training schedule. Submit final Training Plan and training materials and deliver training as set forth in NYSERDA Training Requirements Table 4 in Section III.B.4.

Production Go Live Plan and Activities	Includes walkthrough of draft Production Go Live Plan with the Project Team and submit final Production Go Live Plan. Complete all the tasks and activities needed for the successful Production Go Live.
6 Week Post Go-Live Maintenance and Support	Includes onsite support and maintenance as described in Section III.B.5.

C. Schedule

NYSERDA would like to complete its upgrade as soon as practical, but in no event shall the implementation and cutover occur later than June 30, 2015 when support of the current v9.0 expires. The Proposer will present a Project Plan outlining a schedule for completing the upgrade project. NYSERDA is seeking an aggressive timeline for this project. If a Proposer has an alternative timeline for this type of project, this would be considered a valuable recommendation.

D. Requested Resources

Contractor resources are expected to conduct all project work on site at NYSERDA's offices in Albany. Personnel qualifications and experience should be detailed as described in Section IV, Proposal Requirements, Section 2.B., Personnel Qualifications and Experience. The resources desired by NYSERDA for the project are listed below. Proposers can adjust the staffing ratios in their proposal provided a justification is presented for the change. In addition, resources assigned to the project should be scheduled according to the Project Timeline. All services are to be performed by expert technical and/or functional resources. Should it become necessary to replace any resources during the term of the contract, NYSERDA expects the selected Proposer to provide a replacement with skills comparable to those of the proposed staff. All staffing resources assigned to the project and any changes to the staffing must be approved in writing by NYSERDA Project Manager.

The Proposer shall submit the number of Full-time equivalents (“FTE’s”) that would be provided in these roles for the project implementation. The resources required by NYSERDA include but may not be limited to:

Project Manager

This role will partner with the NYSERDA Project Manager and lead the upgrade project, develop and manage the Project Plan, identify issues, assess risks, control change management, ensure communication, and monitor the progress of project tasks.

PeopleSoft Systems Administrator/SQL PeopleSoft Database Administrator

This role will lead the technical effort and consult with the NYSERDA DBA/Admin resource to validate the proposed infrastructure for the environments, coordinate infrastructure setup and development, ensure alignment with PeopleSoft upgrade recommendations and best practices, demonstrate and perform the upgrade steps, and provide technical help and expertise.

The Database Administrator functions will include:

- Upgrade of databases from SQL Server 2008 R2 to SQL Server 2012
- Backup, replicate and refresh database instances
- Troubleshooting database connection, performance and security issues

- Provide technical support and troubleshoot and resolve production/development support issues for the database servers
- Implement various measures to monitor, fine-tune, optimize and administer the databases that make up the PeopleSoft environment

The PeopleSoft Systems Administrator functions will include:

- Technical environment support and management of PeopleSoft Internet Architecture on Windows platform – This will include planning, installation, configuration, tuning, monitoring, troubleshooting, and change management of PeopleSoft’s Batch, Database, Application, Web servers and User Productivity Kit (“UPK”).
- PeopleTools and PeopleSoft Application upgrade experience using Change Assistant and compare reports.
- Analyzing system logs and identifying potential issues
- Recommending and implementing software, hardware, and configuration changes to improve system performance.
- Applying PeopleSoft application patches, bundles, and maintenance packs.
- Documenting the configuration of the system
- Coordinating with NYSERDA resources to ensure availability, reliability, and scalability of systems to meet business demands.
- Performing file system configuration and management.
- Migration of PeopleSoft Objects and Data between PeopleSoft environments as requested by developers.
- Performing detailed comparisons between PeopleTools environments using PeopleSoft’s Compare reporting capability to ensure migrations are successful.
- Impact analysis and comparison of PeopleSoft objects during upgrades and communication with Developers over any impacts. Re-integration of project customizations.
- Maintenance and technical support of PeopleSoft’s tools on Windows Server 2008 platform – PeopleTools, PS/Query, nVision, XML Publisher, UPK, Data Mover, App Engine, Change Assistant, SQR, WebLogic, Tuxedo, MicroFocus COBOL

PeopleSoft Developer

The PeopleSoft developer will be responsible for the technical design, development and testing of module configuration, customization changes (online, batch, inbound and outbound interfaces), work flows, dashboards and pivot grids; issue review, troubleshooting and resolution for all PeopleSoft components; online and batch including maintenance of an issue; impact analysis and comparison of PeopleSoft objects during upgrades and Re-integration of project customizations; development, testing and technical support of PeopleTools, PS/Query, nVision, XML Publisher, Data Mover, Application Engine, Application Packages, Crystal, and SQR.

PeopleSoft Functional Subject Matter Experts

This role will include experts who have prior functional experience working on all Financial and Procurement modules (at a minimum of version 9.1) in setup, configuration, business process, module functionality and data models. These resources should be subject area experts in these PeopleSoft modules and perform the implementation tasks related to configuration and setup, fit-gap analysis, business process changes, functional specifications, testing, assist NYSERDA functional users and provide knowledge transfer, create documentation. The resources in this role shall be a partner on project management efforts and partner on the technology efforts and

provide guidance on decisions.

Resources to be supplied by NYSERDA:

Database Administrator/PeopleSoft Systems Administrator (30% FTE)

The NYSERDA Database Administrator/Systems Administrator will consult with and support the Contractor resource during activities of the upgrade project including duties as outlined for the Contractor resource and as specified in the Statement of Work.

PeopleSoft Developer (50% FTE)

The NYSERDA developer will be responsible for retrofits to the custom reports and may assist with technical support.

NYSERDA Project Manager (50% FTE)

NYSERDA will assign a Project Manager who will coordinate the upgrade project, work with the Contractor Project Manager in the development and management of the project plan, identify issues, assess risks, control change management, ensure communication, and monitor the progress of project tasks. This resource will be the primary day to day contact for the contractor team.

NYSERDA Functional Subject Matter Experts

NYSERDA will have Functional Subject Matter Experts from its Finance, Contract Management, and Program departments available to assist with the project. They will assist with the fit/gap analysis, provide functional expertise and assist in the testing and verification of the new environment. The Functional Subject Matter Experts will have varying levels of time commitment (~30%) to this project.

IV. Proposal Requirements

A completed and signed Proposal Checklist must be attached as the front cover of your proposal, which must contain an original signature. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.**

In compliance with §139-j and §139-k of the State Finance Law (see Section VI, General Conditions below for additional information), additional forms must be completed and filed with proposals:(1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the Proposer, the RFP number, and the page number. The proposal must be in the following format:

- Section 1: Executive Summary
- Section 2: Technical Response
- Section 3: Cost/Price Proposal
- Section 4: Relevant Past and Present Performance

Cost or Pricing Information - All cost or pricing information shall be addressed ONLY in the Cost/Price Proposal Section.

Section 1 - Executive Summary

Provide the following information:

Table of Contents - A master table of contents of the entire proposal.

Narrative Summary - A concise narrative summary of the entire proposal, including significant risks, and a highlight of any key or unique features, **excluding cost/price**. The salient features should tie in with Proposal Evaluation criteria set forth in Section V. Any summary material presented here shall not be considered as meeting the requirements for any portions of other sections of the proposal.

Section 2 - Technical Response Section

The Technical Response Section should be specific and complete. Legibility, clarity and coherence are very important. Responses will be evaluated against the criteria defined in Section V, Proposal Evaluation. Using the instructions provided below, provide as specifically as possible the actual methodology that would be used for accomplishing/satisfying the requirements stated in Section III, Proposal Requirements. All the requirements specified in the solicitation are mandatory. By your proposal submission, you are representing that your firm will perform all the requirements specified in the solicitation. It is not necessary or desirable to tell us that in your proposal. Do not merely reiterate the objectives or reformulate the requirements specified in the solicitation.

A. Format and Specific Content- Technical Response - In this section, address the proposed approach to meeting the requirements listed in the Section III, as well as, risks in the proposal in terms of project capability/performance, cost and schedule.

Address Proposal Risk by identifying those aspects of the proposal considered to involve cost and/or project capability risk. Provide rationale for each risk, including quantitative estimates of the impact on cost, schedule and performance. Describe the impact of each identified risk in terms of its potential to interfere with or prevent the successful accomplishment of the project goals. Suggest a realistic “workaround” or risk strategy for identified risks that will eliminate or reduce risk probability or impact to an acceptable level. Identify any new risks introduced by such risk response plans.

B. Personnel Qualifications and Experience - Include bios for all personnel and subcontractors to be assigned to this project. Proposers must comply with the Minority and Women Owned participation goals set forth in Attachment C. For each of the individuals proposed as resources for the project, please provide:

- PeopleSoft Technical Experience including years
- PeopleSoft Functional Experience including years and specific financial and procurement modules worked on
- PeopleSoft Upgrade experience

C. Statement of Work (SOW) - The Scope of Services with related deliverables required by NYSERDA is provided in Section III.B of this RFP. This Scope of Services represents NYSERDA’s minimum objectives for this project. The Proposer, using the format and details provided in Section III.B, shall propose a Statement of Work (SOW), which expands upon these minimum objectives to the extent necessary. The proposed SOW shall define the tasks required for the successful completion of NYSERDA’s goals and objectives ensuring all minimum requirements are met as detailed in NYSERDA’s Scope of Services.

The proposed SOW shall consist of tasking statements. Each tasking statement shall reference the deliverables, which will be provided by that task. The proposed SOW shall not contain informational notes, as the Technical Response subsection provides ample opportunity for discussion and description of the proposer's approach. The tasking statements in the SOW shall use a common numbering system. The proposed SOW, when accepted by NYSERDA, will be included in the final contract.

D. Deliverables - Based on the proposed SOW, the Proposer shall submit the Table of Final Deliverables that includes at a minimum the Minimum Final Deliverables listed in Table 5. Any deviation from the Table 5 shall be clearly identified and fully explained by the Proposer.

E. Master Schedule (MS): The intent of this section is to obtain a functionally integrated understanding of the proposal in a way that provides NYSERDA confidence that the proposal is structured to be executable for the resources and schedule indicated. The Master Schedule is a detailed task and timing of the work effort in the SOW and will be used as the primary tracking tool for technical and schedule status. The MS identifies all SOW events, deliverables, criteria and the expected dates of each. The MS tasks will be directly traceable to the SOW and the deliverables.

The Proposer shall provide a detail Master Schedule as part of the proposal submittal based on the information that is given in the RFP. The more detailed levels, as well as updates, may be added to the MS following the contract award when the selected Contractor gains NYSERDA specific project knowledge. The MS is intended as a tool for day-to-day tracking of the project. All tasks/activities in the MS should be logically linked together showing predecessor/successor relationships. The activities and tasks will be sufficient to account for the total proposed solution.

Section 3 - Cost/Price Section

The contract will be fixed price for the scope of services (including the 6 week post go-live support) set forth in Section III.B of the RFP.

For the Cost/Price Section of the RFP response, the Proposer shall complete and submit the NYSERDA Deliverable List in Attachment C. The price of each deliverable shall include all costs including, but not limited to, labor, overhead and travel. NYSERDA will not be liable for any additional costs beyond the fixed deliverable prices for any additional work required to be performed by the selected Contractor to achieve the successful conclusion of the project.

The Proposer shall also provide their hourly rate(s) for Optional Services as described in Section III.B of the RFP.

Section 4 - Relevant and Past Performance

The qualifications and prior experience of the Proposer are of great importance to NYSERDA. Each Offeror shall submit a past and present performance section with its proposal, containing past performance information in accordance with the format set forth below. This information is required of the Proposer and all subcontractors, teaming partners, and/or joint venture partners. Proposers are advised that NYSERDA will use data provided in this Section and data obtained from other sources in the evaluation of past and present performance.

A. Past and Present Performance - Submit Past Performance Information on 3 recent contracts that you consider most relevant in demonstrating your ability to perform the proposed effort. Also include information on 3 recent contracts performed by each of your teaming partners and significant subcontractors that you consider most

relevant in demonstrating their ability to perform the proposed effort. Explain what aspects of the reference contracts are deemed relevant to the proposed effort, and to what aspects of the proposed effort they relate. References submitted for this section should be for contracts that are of similar size and scope to the proposed effort here. Include names, addresses, and phone numbers of contact points with the listed clients. NYSERDA reserves the right to contact and request information from any source so named.

References should be from clients who upgraded to PeopleSoft 9.0 or higher.

B. Organizational Structure Change History - Many companies have acquired, been acquired by, or otherwise merged with other companies, or reorganized their divisions, business groups, subsidiary companies, etc. In many cases, these changes have taken place during the time of performance of relevant present or past efforts or between conclusion of recent past efforts and this source selection. As a result, it is sometimes difficult to determine what past performance is relevant to this acquisition. To facilitate this relevancy determination, include a “roadmap” describing all such changes in the organization of your company. As part of this explanation, show how these changes impact the relevance of any efforts you identify for past performance evaluation. Since NYSERDA intends to consider present and past performance information provided by other sources as well as that provided by the Proposer, your roadmap should be both specifically applicable to the efforts you identify and general enough to apply to efforts on which NYSERDA receives information from other sources.

V. Proposal Evaluation

Proposals that meet Proposal requirements will be reviewed by a Technical Evaluation Panel (TEP) using the Evaluation Criteria below.

Evaluation will be performed to determine the Proposer’s understanding of work to be performed, technical approach, potential for completing the work as specified in the Scope of Services, cost reasonableness, the probable cost to NYSERDA, and ranking with competing Proposers.

Oral presentations may be required of the top ranked Proposers. Presentations will be held at NYSERDA’s offices located in Albany, New York at a date and time to be determined by NYSERDA.

Award will be made to that responsible offeror(s), whose offer(s), conforming to this RFP, is (are) considered most advantageous to NYSERDA, considering the Evaluation Criteria in this Section. Technical considerations are of greater importance than cost considerations; however, price is a significant factor in NYSERDA’s evaluation of proposals.

The proposals will be evaluated in accordance with the criteria indicated below:

Criteria	Weight
The Proposer’s Statement of Work, Work Breakdown Structure, and Master Schedule will be evaluated against NYSERDA’s Scope of Services for clarity, completeness and consistency and meeting Technical Requirements.	20%

Proposals will be evaluated considering the Proposer’s technical and managerial experience, qualifications, and the availability of personnel who are proposed to work on the project; project organization and management structure; and prior experience in managing projects similar in type, technology, size and complexity.	30%
Assessment of the Proposer’s past and present performance, and references will be the means of evaluating the credibility of the Proposer’s proposal and the relative capability to meet performance requirements.	20%
Cost Proposals will be evaluated with respect to adequacy and reasonableness. This evaluation will include consideration of the probable cost to NYSERDA of doing business with each offeror. If after the evaluation of technical proposals, two or more competing overall proposals are considered in the competitive range, the evaluated probable cost to NYSERDA may be a deciding factor for selection. That is, the highest technical proposal may not necessarily be selected when cost considerations are taken into account.	25%
Proposer is a NYS-certified Minority-Owned or Women-Owned Business	5%

Top-ranked Proposers may be required to provide oral presentations of their proposals to NYSERDA. Proposers shall not be allowed to change their proposal during or after this presentation unless responding to a request for clarification from NYSERDA. Each selected Proposer will be scheduled to conduct its presentation before the TEP. Following oral presentations, the TEP will rescore the top proposers based on the criteria above to determine the highest-ranked proposer.

VI. General Conditions

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that “are trade secrets or are submitted to an agency 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.” Information submitted to NYSERDA that the Proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled “Confidential” or “Proprietary” on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501

<http://nysesda.ny.gov/~-/medialFiles/About/ContactINYSERDAREgulations.aspx>
However, NYSERDA cannot guarantee the confidentiality of any information submitted.

Omnibus Procurement Act of 1992- It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

New York Executive Law Article 15-A - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in Attachment D.

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections

139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutops/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the Proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the Proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective Contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the Contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective Contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).

Prior to contracting with NYSERDA, the prospective Contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective Contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for Contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award -- NYSERDA anticipates making one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms.

NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement attached as Exhibit E to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify Proposers in approximately four weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation -- This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement.

Disclosure Requirement - The Proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a Proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the Contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

VII. Attachments

Attachment A - Proposal Checklist

Attachment B - Disclosure of Prior Findings of Non- Responsibility

Attachment C - Deliverable Price List and Hourly Rates

Attachment D - Article 15-A (MWBE) Provisions

Attachment E - Sample Agreement

Attachment F - Electronic Proposal Submission Instructions