

## **Appendix F - Requirements Traceability Matrix**

Object Number	ID	Priority	Requirement	Proposer's Response		
				Section/ Appendix #	Page #	Paragraph #
3	2	n/a	<b>3 Contractor Requirements</b>			
3.1	66	n/a	<b>3.1 Contractor Performance Requirements</b>			
3.1.0-1	67	Necessary	The Contractor for this project shall be required to adhere to the New York State Project Management Methodology as defined in the New York State Project Management Guidebook. ( <a href="http://www.cio.ny.gov/pmmp/guidebook2/index.htm">http://www.cio.ny.gov/pmmp/guidebook2/index.htm</a> )			
3.1.0-2	268	Necessary	The Contractor shall refine and deliver its proposed project plans consistent with agreements made during contract negotiation, including: <ul style="list-style-type: none"> <li>•Scope Statement</li> <li>•Work Breakdown Structure (WBS)</li> <li>•Project Schedule</li> <li>•Staffing Plan</li> <li>•Quality Management Plan</li> <li>•Risk Management Plan</li> <li>•Change Management Plan</li> <li>•Issue Management Plan</li> <li>•Communication Plan</li> </ul>			
3.1.0-3	68	Necessary	The Contractor shall meet with the WCB before the start of each major phase of the project to formally discuss and reach agreement on the detailed schedule of activities.			
3.1.0-4	267	Necessary	The Contractor shall meet with the WCB to identify interim and final deliverables for each major phase of the project.			
3.1.0-5	69	Necessary	The Contractor shall provide monthly status reports that supply details of the project tasks/activities, staffing, progress to schedule, and issues.			
3.1.0-6	70	Necessary	The Contractor shall be available to participate in periodic status meetings onsite with the WCB's project team.			

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3.1.0-7	178	Necessary	The Contractor shall participate in the WCB's Executive Oversight Committee meetings and Communications Strategy Team meetings as necessary.			
3.1.0-8	179	Necessary	The Contractor shall record and distribute minutes of project meetings.			
3.1.0-9	71	Necessary	The Contractor shall be available to travel to the WCB's various locations throughout the State for the duration of this project.			
3.1.0-10	180	Necessary	The Contractor shall participate in the WCB's mandatory training classes. It is expected that the amount of time to be spent on training over the duration of the contract is less than 8 hours per consultant.			
3.2	3	n/a	<b>3.2 BPR Planning Activities</b>			
3.2.1	169	n/a	3.2.1 Outreach and Discovery			
3.2.1.0-1	176	Necessary	The Contractor shall work jointly with the WCB to identify all stakeholders of the workers' compensation system to participate in the envisioning and elicitation activities.			
3.2.1.0-2	4	Necessary	The Contractor shall collaborate with the WCB identified stakeholders to envision the improved future workers' compensation system for New Yorkers.			
3.2.1.0-3	193	Necessary	The Contractor shall collectively, with stakeholder input, define the business needs of all stakeholders with regard to the workers' compensation system.			
3.2.1.0-4	194	Necessary	The Contractor shall collectively, with stakeholder input, establish project goals and align expectations.			
3.2.1.0-5	6	Necessary	The Contractor shall transform the project objectives stated in this RFP into specific, measurable, achievable, realistic, time-bound ('SMART') objectives.			
3.2.1.0-6	7	Necessary	The Contractor shall document an understanding of the current system and business activities and document the current challenges and barriers.			
3.2.1.0-7	243	Necessary	The Contractor shall document an understanding of, and document the WCB's current organization and its physical space.			

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3.2.1.0-8	5	Necessary	The Contractor shall document the results of its outreach and discovery activities in a strategic vision document as described in Attachment 2.			
3.2.1.0-9	191	Necessary	The Contractor shall deliver a strategic vision document as described in Attachment 2.			
3.2.2	170	n/a	3.2.2 Assessment			
3.2.2.0-1	8	Necessary	The Contractor shall analyze current challenges in the existing system and identify root causes of performance breakdowns.			
3.2.2.0-2	192	Necessary	The Contractor shall conduct identify and analyze gaps between the existing system and the strategic vision.			
3.2.2.0-3	198	Necessary	The Contractor shall identify proposed changes needed to respond to the current challenges and problems discovered.			
3.2.2.0-4	9	Necessary	The Contractor shall identify opportunities for improvement including identifying minor changes that, if implemented outside the core of this project, would initiate savings.			
3.2.2.0-5	10	Necessary	The Contractor shall analyze processes to identify process steps and to identify what data is needed at different points in the process.			
3.2.2.0-6	177	Necessary	The Contractor shall analyze the availability, accessibility and quality of WCB data for measuring workers' compensation system performance.			
3.2.2.0-7	195	Necessary	The Contractor shall analyze the current (as-is) process levels to determine its quality and value to the overall process.			
3.2.2.0-8	242	Necessary	The Contractor shall assess the WCB's ability to support meeting its business objectives.			
3.2.2.0-9	12	Necessary	The Contractor shall identify key performance indicators and benchmarks, and in concert with WCB, shall define, document and review procedures for measuring progress toward fulfilling the strategic vision.			
3.2.2.0-10	13	Necessary	The Contractor shall establish measurements to tracks costs and receipt of claimant benefits.			
3.2.2.0-11	11	Necessary	The Contractor shall advise the WCB on workers' compensation industry best practices.			

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3.2.2.0-12	196	Necessary	The Contractor shall document the results of its assessment activities in an assessment report as described in Attachment 2.			
3.2.2.0-13	197	Necessary	The Contractor shall deliver an assessment report as described in Attachment 2.			
3.2.3	175	n/a	3.2.3 Communication, Information and Training			
3.2.3.0-1	216	Necessary	The Contractor shall utilize multiple modes of communication to engage all stakeholders throughout the BPR project.			
3.2.3.0-2	218	Necessary	The Contractor shall keep all stakeholders informed of project progress throughout the BPR project.			
3.2.3.0-3	219	Necessary	The Contractor shall assist in managing the expectations of all stakeholder groups.			
3.2.3.0-4	26	Necessary	The Contractor shall conduct a change readiness assessment to determine the degree to which stakeholders are ready and capable of implementing the changes and document the results in the assessment report.			
3.2.3.0-5	217	Necessary	The Contractor shall develop an approach to addressing barriers to the implementation of the future system.			
3.2.3.0-6	189	Necessary	The Contractor shall be responsible for feedback and follow-up of outreach activities, acting as the communications conduit between the WCB and workers' compensation system stakeholders.			
3.2.4	172	n/a	3.2.4 Develop BPR Recommendations			
3.2.4.0-1	19	Necessary	The Contractor shall develop workers' compensation system strategies in the areas of organizational planning, business process reengineering, stakeholder outreach and communication, workforce transition, information technology, and training.			
3.2.4.0-2	14	Necessary	The Contractor shall develop and implement approaches to facilitate the review, prioritization and recommendation of BPR transformation activities.			
3.2.4.0-3	15	Necessary	The Contractor shall estimate and analyze the costs of implementing potential strategies.			

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3.2.4.0-4	17	Necessary	The Contractor shall analyze the expected benefits (in terms of timely delivery of benefits, touchpoints for the paperwork/processes) to be gained from implementing potential strategies.			
3.2.4.0-5	200	Necessary	The Contractor shall determine the return on investment (ROI) associated with implementing each potential strategy.			
3.2.4.0-6	202	Necessary	The Contractor shall identify the risks associated with each potential strategy.			
3.2.4.0-7	16	Necessary	The Contractor shall identify and compare alternatives for implementing potential strategies.			
3.2.4.0-8	24	Necessary	The Contractor shall analyze and describe the advantages and disadvantages (limitations) of each potential strategy.			
3.2.4.0-9	25	Necessary	The Contractor shall describe the alternatives and tradeoffs considered while deriving its recommendations.			
3.2.4.0-10	203	Necessary	The Contractor shall provide a description of its recommended business process and organizational changes.			
3.2.4.0-11	22	Necessary	The Contractor shall identify and describe the operational and organizational impacts of its recommended changes.			
3.2.4.0-12	23	Necessary	The Contractor shall identify and describe the regulatory and statutory impacts of its recommended changes.			
3.2.4.0-13	247	Necessary	The Contractor shall analyze the regulatory impacts of its recommended solution and document the corresponding statute, rule, and administrative processes that will require change.			
3.2.4.0-14	204	Necessary	The Contractor shall identify and document the impacts anticipated during the transition from the current system to the future system.			
3.2.4.0-15	205	Necessary	The Contractor shall describe and document its concept for support and governance of the future system including stakeholder communication and education.			
3.2.4.0-16	199	Necessary	The Contractor shall document the results of its BPR recommendations activities in an envisioned solution description as described in Attachment 2.			
3.2.4.0-17	201	Necessary	The Contractor shall deliver an envisioned solution description as described in Attachment 2.			

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3.2.5	171	n/a	3.2.5 Develop Target Environment Description			
3.2.5.0-1	244	Necessary	The Contractor shall develop a detailed to-be process design including process narratives and process models for all WCB and stakeholder process changes described in the envisioned solution document.			
3.2.5.0-2	245	Necessary	The Contractor shall develop and deliver an organization plan describing its recommendations for aligning the organization with the reengineered business processes within the constraints of the NYS Civil Service system.			
3.2.5.0-3	249	Necessary	The Contractor shall assess skill gaps and determine training needs to successfully implement the reengineered business processes and transition to the target organization.			
3.2.5.0-4	250	Necessary	The Contractor shall assess the workforce and develop redeployment strategies for transitioning to the target organization.			
3.2.5.0-5	246	Necessary	The Contractor shall deliver a facilities design plan describing the physical space requirements for the reengineered business processes including the evaluation of remote workforce capability.			
3.2.5.0-6	248	Necessary	The Contractor shall provide separate implementation plans for those aspects of the revised process that require changes to the statute and rules and regulations, versus those changes that can be handled administratively by the WCB.			
3.2.5.0-7	31	Necessary	The Contractor shall identify and document, at a conceptual level, alternative technology solution approaches that would enable the recommended BPR solution.			
3.2.5.0-8	206	Necessary	The Contractor shall analyze and compare technology solution alternatives in terms of costs, benefits, risks and ability to meet performance goals.			
3.2.5.0-9	258	Necessary	The Contractor shall describe the conceptual design of the envisioned technology solution.			
3.2.5.0-10	259	Necessary	The Contractor shall identify and describe the benefits of the envisioned technology solution.			

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3.2.5.0-11	207	Necessary	The Contractor shall specify the functional and nonfunctional technology solution requirements.			
3.2.5.0-12	251	Necessary	The Contractor shall specify the data and reporting requirements for the target environment.			
3.2.5.0-13	252	Necessary	The Contractor shall provide data models of the conceptual and logical data design.			
3.2.5.0-14	208	Necessary	The Contractor shall specify the technology transition requirements including data conversion and migration, training, outreach, and other related changes to reach the desired target environment.			
3.2.5.0-15	209	Necessary	The Contractor shall document the results of its technology approach assessment in a target environment description as described in Attachment 2.			
3.2.5.0-16	263	Necessary	The Contractor shall specify its recommendations for security and privacy.			
3.2.5.0-17	264	Necessary	The Contractor shall specify its recommendations for continuity of operations for both business and technical requirements.			
3.2.5.0-18	265	Necessary	The Contractor shall specify its recommendations for the transmission of data.			
3.2.5.0-19	210	Necessary	The Contractor shall deliver a target environment description as described in Attachment 2.			
3.2.6	173	n/a	3.2.6 Business Case and Proposal Development			
3.2.6.0-1	33	Necessary	The Contractor shall develop and document a business case that provides a compelling case for the proposed transformation activities.			
3.2.6.0-2	211	Necessary	The Contractor shall develop project proposal(s) for the transformation activities.			
3.2.6.0-3	212	Necessary	The Contractor shall include the costs, benefits and risks associated with each project proposal.			
3.2.6.0-4	213	Necessary	The Contractor shall deliver a business case/project proposal(s) as described in Attachment 2.			
3.2.7	174	n/a	3.2.7 Develop Roadmap			

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3.2.7.0-1	20	Necessary	The Contractor shall develop and document a recommendations roadmap for implementing its recommended BPR solution as described in Attachment 2.			
3.2.7.0-2	18	Necessary	The roadmap shall be a time-phased strategic plan that takes into account other ongoing WCB modernization projects.			
3.2.7.0-3	215	Necessary	The Contractor shall document the approach to implementing its recommended improvements and transformation activities.			
3.2.7.0-4	32	Necessary	The Contractor shall define and document key actions to implement the recommended improvements and transformation activities.			
3.2.7.0-5	214	Necessary	The Contractor shall identify and document time frames and resource requirements associated with each key action.			
3.2.7.0-6	269	Necessary	The Contractor shall assess and document stakeholder readiness for adopting the proposed changes.			
3.3	34	n/a	<b>3.3 BPR Implementation Tasks</b>			
3.3.1	223	n/a	3.3.1 Project Initiation Tasks These tasks are applicable to each implementation project undertaken as a result of the BPR Planning tasks.			
3.3.1.0-1	224	Necessary	The Contractor shall assist the WCB with identifying the necessary resources to further develop the project parameters – costs, scope, schedule and quality.			
3.3.1.0-2	225	Necessary	The Contractor shall assist the WCB in further defining project cost, scope, schedule and quality.			

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3.3.1.0-3	226	Necessary	The Contractor shall assist the WCB in developing initial project management planning documentation for the selected approach, to include: <ul style="list-style-type: none"> <li>•Scope Statement</li> <li>•Work Breakdown Structure (WBS)</li> <li>•Project Schedule</li> <li>•Staffing Plan</li> <li>•Quality Management Plan</li> <li>•Risk Management Plan</li> <li>•Change Management Plan</li> <li>•Issue Management Plan</li> <li>•Communication Plan.</li> </ul>			
3.3.1.0-4	227	Necessary	The Contractor shall assist the WCB in developing a project charter.			
3.3.1.0-5	228	Necessary	The Contractor shall assist the WCB with identifying and documenting an initial set of risks that have potential to threaten the project.			
3.3.1.0-6	229	Necessary	The Contractor shall assist the WCB with updating the Business Case/Project Proposal and Recommendation Roadmap.			
3.3.2	35	n/a	3.3.2 Quality Assurance Program Development (The WCB desires assistance with creating a Quality Assurance program to provide oversight of the business process redesign project's process. The QA program would include activities associated with ongoing process of review, feedback, and monitoring of project processes and results.)			

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3.3.2.0-1	36	Necessary	The Contractor shall establish and document a Quality Assurance Program that includes plans and procedures for: <ul style="list-style-type: none"> <li>• providing independent and objective feedback to management on the state of the project</li> <li>• ensuring the project processes and results meet stakeholder requirements</li> <li>• improving project performance (on time, on budget)</li> <li>• improving business process performance (relative to operational performance measures)</li> <li>• improving efficiency through early identification of "defects"</li> <li>• identifying and mitigating project risks before they become issues</li> <li>• reporting problems and corrective actions</li> </ul>			
3.3.2.0-2	38	Necessary	The Contractor shall define and execute a QA Training Plan for transitioning knowledge to quality assurance staff identified by the WCB.			
3.3.2.0-3	221	Necessary	The Contractor shall conduct QA training and knowledge transfer to the WCB's staff.			
3.3.2.1	222	n/a	<b>3.3.2.1 QA Program Deliverables</b>			
3.3.2.1.0-1	60	Necessary	The Contractor shall deliver a Quality Assurance Plan.			
3.3.2.1.0-2	220	Necessary	The Contractor shall deliver QA process and procedure documentation.			
3.3.2.1.0-3	61	Necessary	The Contractor shall deliver a QA Training Plan.			
3.3.3	39	n/a	<b>3.3.3 Independent Verification and Validation (IV&amp;V) Tasks</b> (The WCB requires Independent Verification and Validation (IV&V) services and resources to ensure its requirements for the Workers' Compensation System BPR are met within the solution provided by the selected implementation Contractor. The IV&V Contractor will be wholly independent of the implementation Contractor and will answer directly to the WCB or designated representative).			

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3.3.3.0-1	40	Necessary	The IV&V Contractor shall work collaboratively with the implementation vendor and the WCB to ensure that quality goals are achieved and proven.			
3.3.3.0-2	41	Necessary	The IV&V Contractor shall act in an independent oversight role for the WCB and verify achievement of quality goals.			
3.3.3.0-3	42	Necessary	The IV&V Contractor shall determine how well the implemented solution satisfies the stakeholders' needs.			
3.3.3.0-4	43	Necessary	The IV&V Contractor shall determine how well the implemented technology solution satisfies its intended use.			
3.3.3.0-5	44	Necessary	The IV&V Contractor shall determine how well the implemented technology solution conforms to requirements, standards, practices and conventions for the recommended solution.			
3.3.3.0-6	45	Necessary	The IV&V Contractor shall define measurable quality criteria for each iterative milestone during the project, as well as the final version of the solution. An "iterative milestone" is a point at which an inspection can be conducted to measurably verify the achievement of a set of requirements and/or tasks and quality goals associated with deliverables.			
3.3.3.0-7	46	Necessary	The IV&V Contractor shall verify and validate the achievement of requirements and/or tasks and associated quality goals for each iterative milestone.			
3.3.3.0-8	52	Necessary	The IV&V Contractor shall assist the WCB with identifying, assessing, and reporting on risks.			
3.3.3.1	59	n/a	<b>3.3.3.1 IV&amp;V Deliverables</b>			
3.3.3.1.0-1	62	Necessary	The IV&V Contractor shall deliver monthly reports including: - risk assessment reports - status and summary of IV&V activities.			
3.3.4	58	n/a	<b>3.3.4 Stakeholder Outreach and Communications Tasks</b>			
3.3.4.0-1	65	Necessary	The Contractor shall continue communication, information and training activities from the reengineering planning phase during the implementation phase.			

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3.4	266		<b>3.4 Contractor and Key Personnel Requirements</b>			
3.4.1	72	n/a	3.4.1 Contractor Experience			
3.4.1.0-1	73	Mandatory	The Contractor shall have experience delivering business process reengineering projects in the past three years that are similar in scale and scope to the project described in this RFP.			
3.4.1.0-2	75	Mandatory	The Contractor shall have experience working for the regulating agency in jurisdictions that administer workers' compensation processes or other social insurance or health systems.			
3.4.1.0-3	190	Necessary	The Contractor shall have experience with claims resolution systems.			
3.4.1.0-4	76	Necessary	The Contractor shall have experience with strategic and tactical planning for optimizing business processes and systems that drive business results.			
3.4.1.0-5	77	Necessary	The Contractor shall have experience with organizational change management.			
3.4.1.0-6	78	Necessary	The Contractor shall have experience in system design.			
3.4.1.0-7	74	Mandatory	The Contractor's experience shall be verified by two references from entities for which it has delivered projects (as described in response to requirement ID 73 and 75).			
3.4.2	79	n/a	<b>3.4.2 Key Personnel</b>			
3.4.2.0-1	82	Necessary	The Contractor shall appoint key personnel to be responsible for coordinating with the WCB and managing project activities.			
3.4.2.0-2	101	Necessary	The Contractor shall provide continuity of appointed Key Personnel through the life of the contract.			
3.4.2.0-3	84	Necessary	Should it become necessary to replace the key personnel, the Contractor shall provide a replacement with skills comparable to those of the proposed staff.			
3.4.2.0-4	83	Necessary	The Contractor shall obtain approval from the WCB prior to replacing key personnel.			

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3.4.2.1	181	n/a	<b>3.4.2.1 Project Manager</b>			
3.4.2.1.0-1	80	Necessary	The Project Manager shall have a minimum of three years of experience directing business process improvement or reengineering projects of similar scale and scope.			
3.4.2.1.0-2	85	Necessary	The Project Manager shall be devoted full-time to the project.			
3.4.2.1.0-3	86	Necessary	The Project Manager shall possess current PMP certification.			
3.4.2.1.0-4	89	Necessary	The Project Manager shall have the authority to act as the primary contact between the Contractor and the WCB.			
3.4.2.1.0-5	90	Necessary	The Contractor shall designate a single point of contact that will be available to the WCB, if the Project Manager is temporarily unavailable.			
3.4.2.2	182	n/a	<b>3.4.2.2 Business Analysts</b>			
3.4.2.2.0-1	91	Necessary	The Lead Business Analyst shall have a minimum of five years experience performing business process improvement or reengineering studies comparable to the WCB's project in scale and scope.			
3.4.2.2.0-2	183	Necessary	The Lead Business Analyst shall have experience working for the regulating agency in jurisdictions that administer workers' compensation processes or other social insurance or health systems.			
3.4.2.2.0-3	260	Necessary	The Business Analysts shall have a minimum of three years experience performing business process improvement or reengineering studies comparable to the WCB's project in scale and scope.			
3.4.2.2.0-4	92	Necessary	The Business Analysts shall have experience with defining business needs.			
3.4.2.2.0-5	93	Necessary	The Business Analysts shall have experience with gap analysis (comparing the current state and desired future state in order to identify differences that need to be addressed).			
3.4.2.2.0-6	94	Necessary	The Business Analysts shall have experience determining a solution approach and defining solution scope.			

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3.4.2.2.0-7	95	Necessary	The Business Analysts shall have experience defining a business case.			
3.4.2.2.0-8	184	Necessary	The Business Analysts shall have experience with Enterprise Modeling tools (preferably ProVision version 6.24 or later).			
3.4.2.3	185	n/a	<b>3.4.2.3 Outreach Specialist</b>			
3.4.2.3.0-1	96	Necessary	The Outreach Specialist shall have professional experience promoting and representing programs and services to public and/or private organizations, and professional associations for the purpose of increasing participation in or utilization of the programs and services.			
3.4.2.3.0-2	97	Necessary	The Outreach Specialist shall have communication planning experience including: <ul style="list-style-type: none"> <li>• identifying key messages</li> <li>• crafting key messages for specific audiences</li> <li>• developing Frequently Asked Questions (FAQs)</li> <li>• facilitating widely attended events</li> <li>• identifying communication channels</li> <li>• developing communication action plans and timelines.</li> </ul>			
3.4.2.3.0-3	98	Necessary	The Outreach Specialist shall have experience conducting stakeholder analysis (the process of examining the needs, sentiments and characteristics of key individuals who have a stake in the project).			
3.4.2.3.0-4	99	Necessary	The Outreach Specialist shall have experience conducting outreach to engage stakeholders and communicate project value to the stakeholders.			
3.4.2.4	186	n/a	<b>3.4.2.4 Legal Liaison</b>			
3.4.2.4.0-1	100	Necessary	The Legal Liaison shall have experience identifying and assessing statutory, regulatory, and other policy changes.			
3.4.2.4.0-2	187	Necessary	The Legal Liaison shall have experience in developing and delivering statutory, regulatory and policy change presentations and briefings to necessary stakeholders.			

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3.4.2.5	240	n/a	<b>3.4.2.5 Additional Personnel</b>			
3.4.2-1	81	Necessary	The Contractor shall provide any staff necessary to conduct the phases of the project defined in the RFP, to perform all of the required tasks, and produce all required deliverables.			
3.4.2-2	241	Necessary	The WCB reserves the right to identify additional key personnel requirements for the implementation phase including but not limited to: <ul style="list-style-type: none"> <li>• Quality Assurance (QA) Specialist</li> <li>• IV&amp;V Specialist</li> </ul>			
3.4.3	102	n/a	<b>3.4.3 Project Constraints</b>			
3.4.3.0-1	104	Necessary	The final reengineered solution may result in additional RFPs for the implementation of the BPR solution. The Contractor shall be precluded from bidding on this work.			
3.4.3.0-2	105	Necessary	Completion of this project, with corresponding tasks, shall be contingent upon satisfactory turnover of all deliverables by the Contractor and review and approval of those deliverables by the WCB.			
3.4.3.0-3	188	Necessary	The Contractor shall not assume approval of a deliverable if there is no response from the WCB. Approval by default is not permitted.			
3.4.3.0-4	106	Necessary	The WCB prefers that the work requiring interaction with WCB staff be performed at the NYS Workers' Compensation Board offices. Office space will be provided as needed.			
3.4.3.0-5	107	Necessary	The Contractor shall refine its project proposal documentation and plans to be consistent with agreements made during contract negotiation.			
3.4.3.0-6	272	Necessary	Contractor work that is not performed at NYS WCB offices shall be performed within the United States by employees and approved independent contractors who are United States residents.			

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4	108	n/a	<b>4 Response Requirements</b>			
4.1	270	n/a	<b>4.1 Overview</b>			
4.2	271	n/a	<b>4.2 General Procedures</b>			
4.2.0-1	109	Mandatory	Offerors shall deliver proposals to the Workers' Compensation Board Issuing Office no later than 2:00 PM ET on the date specified in the RFP Schedule.			
4.2.0-2	110	Mandatory	The Offeror shall submit a signed Cover Letter on official business letterhead as part of its proposal submission.			
4.2.0-3	111	Mandatory	The Offeror's Cover Letter shall contain the signature of an official authorized to bind the Offeror to the RFP provisions.			
4.2.0-4	112	Mandatory	The Offeror shall submit a separate Technical Volume (Volume I) as specified in the RFP.			
4.2.0-5	113	Mandatory	The Offeror shall submit a separate Cost Volume (Volume II) as specified in the RFP.			
4.3	114	n/a	<b>4.3 Cover Letter Format</b>			
4.3.0-1	115	Necessary	The Offeror's Cover Letter shall contain the following information regarding the Offeror's official representative for its proposal: <ul style="list-style-type: none"> <li>• Name of Offeror's official representative,</li> <li>• Title,</li> <li>• Name of company,</li> <li>• Address,</li> <li>• Telephone number,</li> <li>• FAX number, and</li> <li>• E-mail address of the Offeror's representative.</li> </ul>			
4.3.0-2	117	Necessary	The Offeror's Cover Letter shall contain the names of all SubContractors involved in the Offeror's response (if applicable).			
4.3.0-3	118	Necessary	The Offeror's Cover Letter shall contain a statement certifying that the proposal shall remain valid for at least 365 days.			

Object Number	ID	Priority	Requirement	Proposer's Response		
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4.3.0-4	119	Necessary	The Cover Letter shall include a statement that, if awarded the contract, the Contractor will comply with all the requirements set forth in this RFP, including the contract terms and conditions in the Contract Provisions section, the appended Standard Clauses for all New York State Contracts in Appendix A, and the Information for Contractors in Appendix B, except as may be hereinafter modified and accepted by the WCB.			
4.3.0-5	120	Necessary	The Cover Letter shall include a statement that, if awarded the contract, the Contractor will comply with all the requirements set forth in this RFP, including the contract terms and conditions in the Contract Provisions section, the attached Standard Clauses for all New York State Contracts, and Executive Order 127, State Finance Law §§139-j and 139-k, except as may be hereinafter modified and accepted by the WCB.			
4.3.0-6	121	Necessary	The Cover Letter shall include a Statement of Integrity stating whether any principal, officer, or member of the firm has ever been convicted of a crime of fraud or dishonesty, or whether any such person is currently under indictment for a crime of fraud or dishonesty. The Offeror may, if desired, provide an attestation as to the business and personal integrity of their firm or any principal or member of the firm. Included in this component could be any independent statement regarding the integrity of the firm or its members in relation to Financial/Security services			
4.3.0-7	122	Necessary	The Offeror's Cover Letter shall specifically identify by page number, line, or other appropriate designation, that information that it alleges to be a trade secret and shall explain in detail why such information is allegedly a trade secret.			
4.4	123	n/a	<b>4.4 Technical Volume Format</b>			
4.4.0-1	124	Mandatory	The Offeror shall submit ten paper copies and two softcopies on CD of the Technical Volume in a Microsoft Office 2010 compatible format.			

Object Number	ID	Priority	Requirement	Proposer's Response		
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4.4.0-2	125	Mandatory	Volume I of the Offeror's proposal shall include a Title page identifying the RFP for which the proposal is being submitted, and the name, location, and contact person(s) for the Offeror firm.			
4.4.0-3	126	Mandatory	Volume I of the Offeror's proposal shall include a Table of Contents that reflects the areas identified in Technical Volume Content. The Table of Contents should identify each major section of the Offeror's proposal, along with its initial-page number.			
4.4.0-4	127	Mandatory	The Offeror's Technical Volume shall include a completed requirements traceability matrix showing the detailed technical requirements and the numbers of the pages within its proposal that address them (in accordance with <i>Appendix F</i> of the RFP).			
4.5	128	n/a	<b>4.5 Technical Volume Content</b>			
4.5.1	129	n/a	4.5.1 Offeror Information			
4.5.1.0-1	130	Necessary	Volume I of the Offeror's proposal shall include a Statement of Company Background describing the Offeror's firm.			
4.5.1.0-2	131	Necessary	The Company Background information shall include: <ul style="list-style-type: none"> <li>• Name and address of Offeror's firm, other affiliates, and other locations</li> <li>• Name, title, address, e-mail address and telephone number of primary contact person at offering firm</li> <li>• Length of time in business</li> <li>• Corporate Structure (number and location of offices, number of staff at each office) and</li> <li>• Corporate Profile and description including nature of business and services provided and length of time providing those services.</li> </ul>			
4.5.1.0-3	132	Necessary	If subcontractors are part of the Offeror's proposal Volume I of the Offeror's proposal shall include a Statement of Company Background describing each subcontractor.			

Object Number	ID	Priority	Requirement	Proposer's Response		
				Section/ Appendix #	Page #	Paragraph #
4.5.2	133	n/a	4.5.2 Offeror Experience			
4.5.2.0-1	134	Necessary	Volume I of the Offeror's proposal shall include a description of the Offerors' experience delivering projects in the past three years that are similar in scope to the project described in Section 3, Contractor Requirements.			
4.5.2.0-2	135	Necessary	Volume I of the Offeror's proposal shall include a description of the Offerors' experience on three projects. If subcontractors are part of the Offeror's proposal the descriptions may include projects conducted by the subcontractor(s). At least one project of similar size and scope must have been conducted by the primary Contractor.			
4.5.2.0-3	136	Necessary	The Offeror's experience description shall include its experience with: <ul style="list-style-type: none"> <li>• workers' compensation rates, cost savings, and policy</li> <li>• working for jurisdictions that regulate and administer workers' compensation processes</li> <li>• analyzing workers' compensation systems to identify cost drivers</li> <li>• workers' compensation processes</li> <li>• claims resolution processes</li> <li>• interacting with a unionized work force</li> <li>• envisioning business strategies and tactical planning</li> <li>• optimizing business processes and systems that drive business results</li> <li>• organizational change management.</li> </ul>			
4.5.2.0-4	137	Necessary	The Offeror's experience shall include projects that involved: <ul style="list-style-type: none"> <li>• envisioning business strategies of similar scale and scope</li> <li>• optimizing business processes and systems of similar scale and scope that drive business results</li> <li>• planning for transformational change and organizational change management of similar scale and scope</li> </ul>			

Object Number	ID	Priority	Requirement	Proposer's Response		
				Section/ Appendix #	Page #	Paragraph #
4.5.2.0-5	140	Necessary	<p>Each description of experience shall include:</p> <ul style="list-style-type: none"> <li>• Name of project</li> <li>• Name of client</li> <li>• Nature of client's business</li> <li>• Size of client (# employees, revenues, locations)</li> <li>• Dates of project/engagement</li> <li>• Description of project/engagement including: <ul style="list-style-type: none"> <li>--number and type of staff involved</li> <li>--description of all services provided and deliverables provided</li> <li>--description of interaction with a unionized work force</li> <li>--extent of outreach and communications with external parties</li> <li>--project results and benefits delivered to the client and</li> <li>--a list of all subcontractors and the duties they performed</li> </ul> </li> <li>• Journal articles or other publications that have reported on the project, if applicable.</li> </ul>			
4.5.2.0-6	253	Necessary	<p>The Offeror's experience description shall include a discussion of the key challenges faced when implementing business transformation initiatives. Include descriptions of:</p> <ul style="list-style-type: none"> <li>• challenges that had to be overcome</li> <li>• how you overcame the challenges</li> <li>• what compromises, if any, were made to reach goals.</li> </ul>			
4.5.2.0-7	255	Necessary	<p>The Offeror's experience description shall include its data collection and reporting methods that were used effectively to apprise stakeholders on the progress of initiatives and to ensure that the activities performed are on target to achieve the anticipated business and financial benefits.</p>			
4.5.2.0-8	256	Necessary	<p>The Offeror's experience description shall include its approach to defining quantitative and qualitative performance metrics that aided in ensuring success and obtaining stakeholder buy-in.</p>			

Object Number	ID	Priority	Requirement	Proposer's Response		
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4.5.2.0-9	141	Necessary	If subcontractors are part of the Offeror's proposal, the description of the Offeror's experience shall include projects conducted by the subcontractor(s).			
4.5.3	142	n/a	4.5.3 Offeror References			
4.5.3.0-1	143	Mandatory	Volume I of the Offeror's proposal shall include three references from different entities to whom the Offeror has provided services described in the Offeror's experience.			
4.5.3.0-2	230	Necessary	Company references shall be English-speaking and available for contact between 8:00 am and 5:00 pm ET.			
4.5.3.0-3	231	Necessary	The Offeror shall provide reference information for entities that are willing to provide a reference on behalf of the Offeror to the WCB.			
4.5.3.0-4	144	Necessary	At least one reference shall be for the project of similar scale and scope conducted by the primary Contractor for the project described above in Offeror's Experience.			
4.5.3.0-5	145	Necessary	Information for each reference shall include: <ul style="list-style-type: none"> <li>• Name and address of the client</li> <li>• Name, title, mailing address, e-mail address, and telephone number of primary contact person at the firm and</li> <li>• Name of project</li> </ul>			
4.5.4	146	n/a	4.5.4 Staff Experience			
4.5.4.0-1	147	Necessary	Volume I of the Offeror's proposal shall include experience profiles for the proposed key personnel defined in Section 3.4.			
4.5.4.0-2	148	Necessary	The key personnel profiles shall include: <ul style="list-style-type: none"> <li>• Name, with professional associations and certifications (for example PMP, CBAP)</li> <li>• Proposed role on this project</li> <li>• Number of years of experience in the role that he/she will be serving on this project and</li> <li>• Description of experience</li> </ul>			

Object Number	ID	Priority	Requirement	Proposer's Response		
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4.5.5	149	n/a	4.5.5 Key Personnel References			
4.5.5.0-1	150	Necessary	Volume I of the Offeror's proposal shall include one reference for each of the proposed key personnel defined in Section 3.4.			
4.5.5.0-2	151	Necessary	Information for each reference shall include: <ul style="list-style-type: none"> <li>• Name and address of the client</li> <li>• Project name and description</li> <li>• Name, title, mailing address, e-mail address, and telephone number of primary contact person at the firm</li> <li>• Dates of service (when the key staff person provided services to the firm or agency).</li> </ul>			
4.5.6	152	n/a	4.5.6 Project Approach/Staffing Plan			
4.5.6.0-1	153	Necessary	Volume I of the Offeror's proposal shall include a project plan in accordance with the New York State Project Management Methodology as defined in the New York State Project Management Guidebook ( <a href="http://www.cio.ny.gov/pmmp/guidebook2/index.htm">http://www.cio.ny.gov/pmmp/guidebook2/index.htm</a> ). Specifically, the plan must include: <ul style="list-style-type: none"> <li>• Scope Statement</li> <li>• Work Breakdown Structure</li> <li>• Project Schedule</li> <li>• Quality Management Plan</li> <li>• Risk Management Plan</li> <li>• Change Management Plan</li> <li>• Issue Management Plan</li> <li>• Communication Plan</li> </ul>			
4.5.6.0-2	154	Necessary	The Offeror shall describe its project management methodology and indicate how it aligns with the NY State methodology.			
4.5.6.0-3	156	Necessary	The Offeror's project plan shall identify the critical path activities and milestones that are essential to ensure the fulfillment of all requirements as defined in Section 3 Contractor Requirements.			

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4.5.6.0-4	157	Necessary	The Offeror's project plan shall include a staffing plan that provides a description of how the Offeror proposes to utilize the proposed key personnel and additional staffing to meet the obligations of this engagement as described in Section 3 Contract Requirements. The Offeror should include in that description the planned interaction with WCB staff in terms of number of FTEs and functional background areas. It should be noted for purposes of planning by the Offeror, that the WCB will be able to provide 3-5 FTEs over the duration of the project, with additional expertise provided on an as-needed basis.																																																					
4.5.6.0-5	158	Necessary	The staffing plan shall also indicate the degree to which it is anticipated that staff will be located onsite at the WCB's offices. Any work to be conducted off-site must be so indicated.																																																					
4.5.6.0-6	159	Necessary	The staffing plan shall include a staffing schedule using the following format:																																																					
4.5.6.0-7	160	Necessary	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Phase #</th> <th colspan="2">Month 1</th> <th colspan="2">Month 2</th> </tr> <tr> <th style="text-align: center;">Key Staff</th> <th style="text-align: center;">Hours</th> <th style="text-align: center;">% Time On-site</th> <th style="text-align: center;">Hours</th> <th style="text-align: center;">% Time On-site</th> </tr> </thead> <tbody> <tr> <td><i>Key Staff Role 1</i>      <i>Name</i></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td><i>Key Staff Role 2</i>      <i>Name</i></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td><i>Key Staff Role 3</i>      <i>Name</i></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <th style="text-align: center;">Additional Staff</th> <th style="text-align: center;"># FTEs</th> <th style="text-align: center;">% Time On-site</th> <th style="text-align: center;"># FTEs</th> <th style="text-align: center;">% Time On-site</th> </tr> <tr> <td><i>Staff Role 1</i></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td><i>Staff Role 2</i></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td><i>Staff Role 3</i></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td><i>Staff Role 4</i></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Phase #	Month 1		Month 2		Key Staff	Hours	% Time On-site	Hours	% Time On-site	<i>Key Staff Role 1</i> <i>Name</i>					<i>Key Staff Role 2</i> <i>Name</i>					<i>Key Staff Role 3</i> <i>Name</i>					Additional Staff	# FTEs	% Time On-site	# FTEs	% Time On-site	<i>Staff Role 1</i>					<i>Staff Role 2</i>					<i>Staff Role 3</i>					<i>Staff Role 4</i>							
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4.5.7	161	n/a	4.5.7 Solution Description																																																					
4.5.7.0-1	232	Necessary	The Offeror's solution description shall include its view and understanding of the current state of the NYS Workers' Compensation System and its stakeholders (both internal and external).																																																					
4.5.7.0-2	162	Necessary	The Offeror shall provide a detailed description of its Business Process Reengineering approach.																																																					

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4.5.7.0-3	163	Necessary	The Offeror's approach description shall include its methods, tools and techniques for: <ul style="list-style-type: none"> <li>• Conducting stakeholder outreach and communication</li> <li>• Gaining a better understanding of the issues and concerns from all stakeholders</li> <li>• Eliciting requirements</li> <li>• Researching best practices</li> <li>• Developing a stakeholder vision</li> <li>• Defining the business need for change</li> <li>• Defining quantitative and qualitative performance metrics</li> <li>• Assessing the gaps between the current state and desired future state</li> <li>• Defining the business process redesign approach</li> <li>• Defining the business case to justify implementation of the proposed BPR solution</li> </ul>			
4.5.7.0-4	254	Necessary	The Offeror's solution description shall include its approach for communicating transformation initiatives to control entities (such as legislative bodies and state agencies) and garnering stakeholder buy-in for the transformation.			
4.5.7.0-5	257	Necessary	The Offeror's solution description shall include its approach for transforming the workforce while adapting to the the new business process and operational environment.			
4.5.7.0-6	234	Necessary	The Offeror shall describe its approach to policy change and regulatory change.			
4.5.7.0-7	235	Necessary	The Offeror shall describe its approach to identifying cost drivers.			
4.5.7.0-8	239	Necessary	The Offeror shall describe its approach to developing a Quality Assurance program to provide oversight and ongoing review, feedback, and monitoring of BPR project processes and results.			

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4.5.7.0-9	238	Necessary	The Offeror shall provide a detailed description of its methods, tools and techniques for: <ul style="list-style-type: none"> <li>Identifying and assessing potential technology solutions (Target Environment)</li> <li>Assessing the gaps between the current technology state and desired future state</li> <li>Defining the business case to justify implementation of the proposed solution</li> <li>Identifying key performance indicators and metrics.</li> </ul>			
4.5.7.0-10	233	Necessary	The Offeror shall describe its approach for integrating EDI to facilitate automated workflow and straight-through processing driven by configurable electronic business rules.			
4.5.7.0-11	237	Necessary	The Offeror shall describe its experience with and views on web-based solutions.			
4.5.7.0-12	236	Necessary	The Offeror shall describe its approach to IV&V and extended outreach and communications during implementation.			
4.6	164	n/a	<b>4.6 Cost Volume</b>			
4.6.0-1	165	Mandatory	The Offeror shall submit three paper copies and two softcopies on CD of the Cost Volume in a MS-Office 2010 compatible format.			
4.6.0-2	166	Mandatory	Offerors shall submit costs using the instructions and forms provided in <i>Appendix E</i> . Costs must be specified for all services.			
4.6.0-3	167	Necessary	Volume II of the Offeror's proposal shall include an explanation of the pricing structure and assumptions used in determining its costs. The assumptions and the cost basis of estimate must be included in the Cost Volume, as indicated in <i>Appendix E</i> .			

Object Number	ID	Priority	Requirement	Proposer's Response		
				Section/ Appendix #	Page #	Paragraph #
4.6.0-4	168	Necessary	Volume II of the Offeror's proposal shall include audited financial statements for the last two years including: income/operating statements, balance sheets, statements of cash flow, and footnotes to financial statements. If audited statements are not available, please provide copies of the internally generated financial statements used to prepare tax returns or management reports. Offerors must also provide their Dun and Bradstreet DUNS number, if available.			