RESOLUTION NO. 16 - 48

RESOLUTION OF THE TRUST AUTHORIZING
THE ISSUANCE OF A REQUEST FOR PROPOSALS FOR
SOFTWARE COMPONENT OUTSOURCING SERVICES

WHEREAS, the New Jersey Environmental Infrastructure Trust (Trust) is authorized to make and enter all contracts necessary or incidental to the performance of its duties pursuant to N.J.S.A. 58:11B-5(d); and

WHEREAS, there is a need for the Trust to hire a firm to perform Software Component Outsourcing Services.

NOW THEREFORE BE IT RESOLVED THAT the Trust hereby authorizes the Executive Director to competitively procure Software Component Outsourcing Services pursuant to Environmental Infrastructure Trust Policy and Procedure number 4.00, "Purchase of Goods and Services" and

BE IT FURTHER RESOLVED, the Executive Director is further authorized to solicit proposals, convene a Committee to review all proposals received, and to make a recommendation to the Board for the selection of a firm for Software Component Outsourcing services to the Trust Board for contract approval for a two-year contract with an option for one (1) additional one-year period at the discretion of the Executive Director in consultation with the Chairman.

Adopted Date:	October 13, 2016
Motion Made By:	Mr. Longo
Motion Seconded By:	Mr. Cunningham
Ayes:	6
Nays:	0
Abstentions:	0

Software Component Outsourcing RFP

Issued by the
New Jersey Environmental Infrastructure Trust

Date Issued:
_____, 2016

Questions and Answer Cut-Off Date:
5:00PM EST_____, 2016

Proposals Due Date:
12:00 PM (Noon) EST_____, 2016

In the Office of the Chief Budget Officer
3131 Princeton Pike, Building 4, Suite 216
Lawrenceville, NJ 08648
(609) 219-8600

Please Label Proposals with Firm's Name and
"Proposal for Software Component Outsourcing RFP"

**NEW JERSEY ENVIRONMENTAL INFRASTRUCTURE TRUST
REQUEST FOR PROPOSAL
FOR SOFTWARE COMPONENT OUTSOURCING RFP**

I. OBJECTIVE

The New Jersey Environmental Infrastructure Trust (NJEIT) will retain the services of a software development firm for the purposes of assisting the NJEIT with the integration of feature enhancements to its internal enterprise application, H_2LOans, which is deployed for use by the NJEIT, NJDEP, and the public. The selected firm must be capable of providing consultancy services on an as-needed basis for the term of the contract.

The following paragraphs describe in more detail the mission of the NJEIT, its activities, the scope of services being requested in this RFP, and the information to be provided by interested firms.

II. BACKGROUND

a. Powers and Structure of the NJEIT

The NJEIT was organized pursuant to N.J.S.A. 58:11B-1 et seq. in August, 1986, as an instrumentality of the State exercising public and essential government functions. The NJEIT exists within, but is independent of, the New Jersey Department of Environmental Protection (DEP) including any supervision or control by the DEP. The NJEIT is a State financing authority empowered to make loans and issue revenue bonds for the construction of environmental infrastructure projects.

b. Purpose

Since 1987, the DEP and the NJEIT have partnered to offer funding through the Environmental Infrastructure Financing Program (Program). The Program provides loans to local government units and public water utilities in New Jersey for the construction and maintenance of sanitary sewer and drinking water related projects, as well as projects having a water quality benefit such as land acquisition, storm-water control, landfill closure, and remediation (Environmental Infrastructure Projects). NJEIT sells issues of bonds on behalf of pools of borrowers reducing underwriting and interest costs inherent in a small issue.

The New Jersey Environmental Infrastructure Trust, in partnership with the NJ Department of Environmental Protection (DEP) has been creating and developing H2LOans, its enterprise application software, to assist in tracking and managing loan applications for water infrastructure projects within the state of New Jersey. The application also assists with tracking and managing funds. These funds are sourced from a number of different Federal, State and private sources that are, in turn, issued to a number of different recipients. H2LOans ultimately serves as a tool to assist the financing program in making it more efficient and transparent to better serve the state of New Jersey.

The software development team utilizes the Zend Studio IDE for all software development purposes. The code repository is housed with a cloud provider and the production technology stack is the Zend Server stack. The architecture and infrastructure of H2LOans leverages the resources and infrastructure of AWS (Amazon Web Services) to run. This provides the application with the necessary scalability, redundancy, and resiliency needed to ensure a high quality of service for its end users. H2LOans is hosted with AWS EC2 services. It is configured as a cluster with load balancing and auto-scaling groups. The database server is hosted on the AWS RDS service. User uploaded files are stored within the AWS S3 service. Static files and application libraries are served through AWS CloudFront for fast response and loading.

The objective of the requested work is to develop system features that can integrate with the existing system. Users have often requested features that would assist in helping them complete their work faster or find information more easily. The tasks outlined in the scope of work have been the most commonly requested features from users.

c. **Definitions**
- API - An application programming interface (API) is a set of subroutine definitions, protocols, and tools for building software and applications. An API may be for a web-based system, operating system, database system, computer hardware, or software library.
- CSV - Comma-separated values (CSV) file stores tabular data (numbers and text) in plain text. Each line of the file is a data record. Each record consists of one or more fields, separated by commas. The use of the comma as a field separator is the source of the name for this file format.
- Dataset - A collection of related sets of information that is composed of separate elements but can be manipulated as a unit by a computer.
- JSON - JavaScript Object Notation (JSON) is an open-standard format that uses human-readable text to transmit data objects consisting of attribute–value pairs. It is the most common data format used for asynchronous browser/server communication.
- OCR - Optical character recognition (optical character reader, OCR) is the mechanical or electronic conversion of images of typed, handwritten or printed text widely used as a form of data entry from printed paper data records. It is a common method of digitizing printed texts so that they can be electronically edited, searched, and stored more compactly.
- PDF - Portable Document Format (PDF) is a file format used to present documents in a manner independent of application software, hardware, and operating systems. Each PDF file encapsulates a complete description of a fixed-layout flat document, including the text, fonts, graphics, and other information needed to display it.
- Scalable/scalability - The capability of a system, network, or process to handle a growing amount of work, or its potential to be enlarged in order to accommodate that growth. An

example would be the capability of a system to increase its total output under an increased load when resources (typically hardware) are added.

- SQL - Structured Query Language is a special-purpose programming language designed for managing data held in a relational database management system (RDBMS), or for stream processing in a relational data stream management system (RDSMS).
- XML - Extensible Markup Language (XML) is a markup language that defines a set of rules for encoding documents in a format that is both human-readable and machine-readable. The design of XML focuses on documents, however the language is widely used for the representation of arbitrary data structures such as those used in web services.

III. Scope of Work (SOW)

1. Retainer:

The winning proposer will be expected to provide software component outsourcing consulting services for the Trust's H2L0ans system. The retainer will be for a period of two (2) years with a one (1) year option to renew for the provision of software component development services. There is no guarantee on the volume of work awarded, despite the award of this RFP and the execution of the contract. Requests for software component development services will be requested by the Trust on a case-by-case basis.

2. Immediate Project Objectives:

The Trust has two identified projects for the retained firm to develop or produce software package(s) that can perform the following functionalities:

- File Export of Dataset from a Web-generated Report
- Optical Character Recognition (OCR) of Uploaded Documents

The functionality will require accessibility by external web applications to run scheduled and manually requested batch jobs. Service Oriented Architecture for the applications is highly recommended and preferred but not required. All source code and documentation must be submitted to the NJEIT and will remain the property of the NJEIT.

The following are details regarding each feature listed above:

i. File Export of Dataset from a Web-generated Report

Users consistently manipulate data utilizing Microsoft Excel. Currently, there is no ability to export data from H_2LOans into Excel for users to manipulate the information. This application will take a dataset from within the system and allow users to download the dataset to their personal devices.

Minimum Requirements:

An application that meets the following requirements:

- Export a dataset into the following file formats for users to download
  - o Office Open XML (.xlsx) Excel 2007 and newer
  - o CSV
  - o XML
- Input dataset format:
  - o JSON
  - o SQL Resultset
- API for integration
- Needs to be scalable
  Handle a minimum of 100 requests per second on a cluster of 2 servers with capability to add additional server computing resources to increase processing capability beyond 100 requests per second on 3 or more servers.

ii. Optical Character Recognition (OCR) of Uploaded Documents

Program Review staff maintain numerous PDF documents and require the ability to search within the documents. Due to various sources and quality of file uploads, PDF files may not be OCR and searchable. This application will take a PDF document as input and produce an output of an OCR PDF.

Minimum Requirements:

- An application that meets the following requirements:
- Input source PDF (Typically from an Amazon S3 bucket)
- Output of OCR PDF (Typically saved back to the Amazon S3 bucket)
- API for integration
- Needs to be scalable
  Capable of OCR a minimum of 20 documents simultaneously cluster of 2 servers with capability to add additional server computing resources to increase processing capability beyond 20 documents simultaneously on 3 or more servers.
- Performance
  - o Needs to be 98% accurate at a minimum scanned quality of 300dpi for Latin based characters and symbols

IV. Evaluation
a. Criteria/Procedure

The NJEIT has appointed a committee to review the proposals submitted in response to this request and make recommendations to the NJEIT Board of Directors. The committee will review all proposals in light of the major evaluation criteria set forth below and in the attached rating sheet (with corresponding weights).

The Firm possesses experience, qualifications and resources to efficiently develop and implement the technical requirements of the SOW in this engagement (2);

The Firm's qualifications and the experience in the software development and integration of the type sought and associated clients and references (3);

Qualifications and experience of the individual team members assigned to develop and implement the software requirements (4);

The firm's presence in New Jersey and proximity to the NJEIT's offices (3);

Presentation, if required. (the two firms having the highest preliminary rankings based on the above criteria, may, in the Trust's discretion, be invited to conduct a presentation of their proposals at the Trust's Offices) (3).

Thereafter the evaluation committee shall provide final rankings at which time the fee proposals shall be opened and price will be negotiated with the highest ranked bidder.

b. Oral Presentation(s) and/or Clarification of Proposal
Representatives of the firms or institutions may be invited to make presentations for the limited purpose of reviewing the previously submitted proposals. The NJEIT may ask firms being interviewed to provide professional references and identify specific personnel from their staff for the purpose of an interview. The decision to conduct interviews or check references of either individual firms, all firms, or no firms is at the sole discretion of the NJEIT.

The purpose of such communication with a bidder, either through an oral presentation or a letter of clarification, is to provide an opportunity for the bidder to clarify or elaborate on its bid proposal. Original bid proposals submitted, however, cannot be supplemented, changed, or corrected in any way. No comments regarding other bid proposals are permitted. Bidders may not attend presentations made by their competitors.

c. Submission Requirements
Five printed copies and one electronic copy (CD or DVD) of your proposal should be delivered to John Hansbury, Chief Budget Officer, New Jersey Environmental Infrastructure Trust, 3131 Princeton Pike, Office Building 4, Suite 216, Lawrenceville, NJ 08648.

All questions must be received by 12:00 noon EST _____ 2016. Question received after this date and time will not be considered. Responses to all questions will be posted on the NJEIT's web-site on _____, 2016.

All proposals must be received by 12:00 Noon,   __ , 2016. Proposals received after this date and time will not receive further consideration.   If the Trust is interested in hearing presentations of the proposals from the three highest ranked firms, separate presentations

will take place at a mutually agreeable time commencing _____, 2016 but not later than _____, 2016.

The NJEIT reserves the right; 1) to reject any and all proposals or 2) to waive any informalities or irregularities therein. The award will be made to the firm whose appointment as Software Component Outsourcer is deemed to be in the best interest of the NJEIT and the State.

V.   Technical Proposal

<u>Schedule</u> *(subject to change as required)*

RFP published and distributed	_____, 2016
Deadline for RFP questions	_____, 2016
Response to RFP questions[1]	_____, 2016
Proposals due	_____, 2016
Finalists contacted for interviews	_____, 2016
Interviews w/ two finalists (if needed)	week of_____, 2016
Selection and Board of Directors approval	_____, 2016
Contract begins	_____, 2016

[1] All responses to RFP questions will be posted on the NJEIT's website.

Bidders are encouraged to visit the NJEIT's website at www.njeit.org/procurements for additional information about its mission, loan programs and financial structure. Bidders are also encouraged to frequently check the Request for Proposals section of the NJEIT's web site for any updates and/or additional information pertaining to this RFP.

Each proposal should be economically prepared, with emphasis on completeness and clarity of content. A proposal, as well as any reference material presented, must be written in English and charts, spreadsheets, and oversize exhibits are permissible. All proposal pages must be numbered. It will be the proposing firm's responsibility to provide all required information, including required attachments. No information beyond that specifically requested is required and proposing firms are requested to keep their submissions to the shortest length consistent with making a complete presentation of qualifications. Unless otherwise indicated, <u>a proposal that does not provide all of the information requested below may be rejected.</u>

The proposal should be submitted in one volume and that volume divided into three (3) sections with tabs (separators), and the content of the material located behind each tab, as follows:

- Sub-Section 1 – Technical Proposal
- Sub-Section 2 – Required Forms
- Sub-Section 3 – Fee (Submit in Separate Envelope)

Each response to this RFP must include a Technical Proposal as described below.

a. Sub-Section 1 - Technical Proposal
1. Responses - The Technical Proposal shall include responses to all of the information requested in this RFP.
2. Contents – The Technical Proposal shall be organized as follows:

   i. Letter of Transmittal
   The Technical Proposal must provide the following information for those individuals who will be directly responsible for serving the NJEIT on a day-to-day basis as well as identification of the individual who will lead the consulting effort if selected: names, addresses, telephone and facsimile numbers and email addresses.
   - Include the signature of an authorized official of the firm who has been designated to submit the proposal on behalf of their firm. Provide the name and address of the firm, the name, telephone number, fax number, and e-mail address of individual or individuals responsible for the preparation of this proposal who may be contacted in the event of questions or notification, and the location of the office, if other than that shown above at which the services to be provided hereunder will be performed.
   - A staffing plan listing those persons who will be assigned to the engagement if your firm is selected, including the designation of the person who would be responsible for the engagement. This portion of the proposal should include the relevant resume information for the individuals who would be assigned, including at a minimum, a description of the person's relevant professional experience, years and type of experience, and number of years with the firm. Describe all licenses held and maintained by your firm, its directors, or officers and principals and any of the individuals who will be responsible for providing the services described in this RFP that are required in order to do business in the State or elsewhere.
   - Any subcontractors the agency intends to work with to complete this engagement along with a detailed description and a clear explanation of why each subcontractor has been chosen.

   ii. Business Information
   The Technical Proposal should include the following information regarding the responding firm:
   - The firm's experience and presence within the State of New Jersey, including the number of offices, the number of employees and the type of business activity conducted in the State as well as a description of the participation of women and minorities in the firm.
   - A description of any material agreements, relationships, retainers or other employment that the firm or any employee of the firm has with any other local government units in the State of New Jersey.

- Identify any existing or potential conflicts of interest, as well as your representation of parties or other relationships that might be considered a conflict of interest, that may affect or involve transactions for the NJEIT.
- A description of any pending, concluded or threatened litigation and/or investigations, administrative proceedings or federal or state investigations or audits, subpoenas or other information requests of or involving the firm, its owners, principals or employees as well as a description of the nature and status of the matter and the resolution, if any.
- A listing of all current public clients, including information on the type of engagement.
- Six references, including at least three clients for whom services have been provided for at least three years. Provide the contact names, positions and phone numbers.

iii. **Executive Summary**

The Technical Proposal should include a well-organized summary of not more than four (4) pages with the first page dedicated to describing how the firm meets the minimum qualifications of this RFP, and the remaining three pages identifying and substantiating the basis of your contention that you are the best qualified firm to provide the requested services:
- Detailed list of software and technologies planned to use for development.
- Identification of sub-contractors to be utilized for the SOW.
- Resumes of contractor employees and sub-contractors to be utilized for the SOW.
- Summary experience and references in past software development projects with governmental entities.

For the Two Immediate Project Objectives identified in the SOW (Section III (2)):
- Schedule identifying key development milestones and deliverables.
- Person-hour and/or labor category mix, including a chart that shows the person-hours proposed, reflects the tasks, sub-tasks or other work elements required and identifies the labor category by person hours.

iv. **Program Management Approach**

Each Proposer shall describe their approach to managing all activities required by this RFP and to achieving the program goals and objectives as included within this RFP and the attached documents. This section should include, but not be limited to, the following information:
- Delineation of roles assigned to team members and all sub-consultants
- Organization chart for the proposer's team members and sub-consultants
- Organization chart for key staff, at least down to the task manager level and other key staff as the Proposer may deem important
- Summary of the resources necessary to accomplish the program

- A detailed description of the process that will be used to complete the engagement including the coordination, collaboration and communication with NJEIT/NJDEP staff
3. Other information as the Bidding Contractor may deem relevant

b. Sub-Section 2 - Required Forms

The following submissions are required. For form submissions see *Exhibit A.*
1. Ownership Disclosure Form
2. Disclosure of Investigations/Actions
3. MacBride Principles Certification
4. Disclosure of Investment Activities in Iran
5. Affirmative Action Forms
6. Pursuant to N.J.S.A. 52:32-44, entities providing goods or services to the Trust must be registered with the New Jersey Department of the Treasury, Division of Revenue. Please provide a copy of your firm's business registration certification (or interim registration). If the firm in not already registered with the New Jersey Division of Revenue, the form should be completed, online, at the Division of Revenue website: www.state.nj.us/treasury/revenue/index.html
7. State agencies and independent authorities, such as the Trust, are limited in their ability to enter into contracts with business entities that have made certain political contributions.
   (i) If your firm has not previously submitted the certification and disclosure form(s) pursuant to P.L. 2005, c. 51/Executive Order No. 117, they must be completed. (see, P.L. 2005, c. 51, enacted March 22, 2005, which codified Executive Order No. 134 (McGreevey 2004), as amended by Executive Order No. 117 (Corzine 2008), ("P.L. 2005, c. 51/Executive Order No. 117"))
   (ii) If your firm has previously submitted the certification and disclosure form(s) pursuant to P.L. 2005, c. 51/Executive Order No. 117 you are required only to submit the P.L. 2005, c. 51/Executive Order No. 117 "Certification of No Change."
8. Firms are also advised of their responsibility to file an annual disclosure statement on political contributions with the New Jersey Election Law Enforcement Commission ("ELEC") pursuant to N.J.S.A. 19:44A-20.13 (P.L. 2005, c. 271, section 3) if the firm receives contracts with public entities in excess of $50,000 or more in the aggregate from public entities, such as the Trust, in a calendar year. It is the firm's responsibility to determine if filing is necessary. Failure to so file can result in the imposition of financial penalties by ELEC. Additional information about this requirement is available from ELEC at (888) 313-3532 or at www.elect.state.nj.us.
9. In compliance with Executive Order No. 129 (McGreevey 2004) and P.L. 2005, c. 92, all service performed pursuant to this RFQ shall be performed within the United States.
10. Proposing Firm's Emergency Preparedness Response Plans – To support continuity of operations during an emergency, including a pandemic, NJEIT needs a strategy for maintaining operations for an extended period of time. One part of this strategy is to ensure that essential contracts that provide critical business services to NJEIT have

planned for such an emergency and put contingencies in place to provide needed goods and services.

(i) Describe how you anticipate such a crisis will impact your operations.

(ii) Describe your emergency response continuity of operations plan. Please attach a copy of your plan, or at a minimum, summarize how your plan addresses the following aspects of pandemic preparedness:

- Employee training (describe your organization's training plan, and how frequently your plan will be shared with employees).
- Identify essential business functions and key employees (within your organization) necessary to carry them out.
- Contingency plans for:
    a. How your organization will handle staffing issues when a portion of key employees are incapacitated due to illness.
    b. How employees in your organization will carry out the essential functions if contagion control measures prevent them from coming to the primary workplace.
    c. How your organization will communicate with staff and suppliers when primary communications systems are overloaded or otherwise fail, including key contacts, chain of communications (including suppliers), etc.
    d. How and when your emergency plan will be tested, and if the plan will be tested/audited by a third-party.

c. Sub-Section 3 - Fee (to be submitted in separate envelope)

Proposer must submit a detailed <u>rate schedule</u> (hourly rates to be charged for each category of professional staff) to perform the specific project objectives outlined in the SOW in the RFP and the basis for assessing and calculating the various costs/fees for the retainer services. Include an hourly rate schedule and applicable administrative fees, if any. Submit a rate schedule for two years of service. Also, submit a separate rate schedule for the optional third year of services. Transportation/travel expenses are not to be billed separately. Please be advised that cost will not be the sole determining factor.

VI.   Contract Terms

a. Period of Services

The contract agreement shall be for the period commencing on or about _____, 2016 and shall continue until _____, 2018. The Trust reserves the right to extend the term of the contract for one additional year, until _____, 2019, at the option of the Trust Board of Directors.

Standard Terms and Conditions

The attached Standard Contract Terms and Conditions *(Exhibit B)* are in addition to the terms and conditions set forth in the Request for Proposal (RFP) and should be read in conjunction with same unless the RFP specifically indicates otherwise. If a bidder

proposes changes or modifications or takes exception to any of NJEIT's terms and conditions, modification or exception in NJEIT's terms and conditions by a bidder will be a factor in the determination of an award of the contract.

All of NJEIT's terms and conditions will become a part of any contract(s) or order(s) awarded as a result of the RFP, whether stated in part, in summary or by reference. In the event the bidder's terms and conditions conflict with NJEIT's, NJEIT's terms and conditions will prevail, unless the bidder is notified in writing of NJEIT's acceptance of the bidder's terms and conditions.

Appointment of the consultant by the NJEIT is contingent upon the execution of an Agreement for Services.

Attachments

Exhibit A – Required Forms

      i. Ownership Disclosure Form
     ii. Disclosure of Investigations/Actions
    iii. MacBride Principles Certification
    iv. Disclosure of Investment Activities in Iran
     v. Affirmative Action Forms
    vi. NJ business registration certification (or interim registration) (N.J.S.A. 52:32-44)
   vii. Political contributions (Pay-to-Play); E.O. No. 117
  viii. Political Contributions Form for ELEC (N.J.S.A. 19:44A-20.13)
    ix. Certification of U.S. based work (E.O. No. 129 McGreevey)

a. Emergency Preparedness Statement

Exhibit B – Form of Contract for Software Development and Integration Services
Exhibit C – Software Development and Integration Services Rating Sheet

Dated: _____, 2016