

**State of Nebraska Department of Transportation
REQUEST FOR INFORMATION**

RETURN TO:
NE Department of Transportation
Operations Division
5001 So. 14th Street
Lincoln, NE 68512
Phone: 402-479-4328

SOLICITATION NUMBER	RELEASE DATE
RFI R206-19	May 10th, 2019
OPENING DATE AND TIME	PROCUREMENT CONTACT
June 4th, 2019 3:00 p.m. Central Time	Brandy Henke

This form is part of the specification package and must be signed in ink and returned, along with information documents, by the opening date and time specified.

PLEASE READ CAREFULLY!

SCOPE OF SERVICE

The State of Nebraska, Department of Transportation (NDOT), is issuing this Request for Information, RFI R206-19 for the purpose of gathering information to help the NDOT assess and possibly update/modernize NDOT's Financial Management System.

Written questions are due no later than May 20th, 2019 and should be submitted via e-mail to NDOT.OperationsProcurement@nebraska.gov.

Bidder should submit one (1) original of the entire RFI response. RFI responses must be submitted by the RFI due date and time.

Sealed RFI response must be received in the Nebraska Department of Transportation by the date and time of RFI opening indicated above. *No late information will be accepted.*

BIDDER MUST COMPLETE THE FOLLOWING

By signing this Request for Information form, the bidder guarantees compliance with the provisions stated in this Request for Information.

FIRM: _____

COMPLETE ADDRESS: _____

TELEPHONE NUMBER: _____ FAX NUMBER: _____

SIGNATURE: _____ DATE: _____

TYPED NAME & TITLE OF SIGNER: _____

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I. SCOPE OF THE REQUEST FOR INFORMATION

The State of Nebraska, Department of Transportation (NDOT), is issuing this Request for Information, RFI R206-19 for the purpose of gathering information to help the NDOT assess and possibly update/modernize NDOT's Financial Management System. Information provided will assist the State of Nebraska in developing a future Request for Proposal for such assessment.

ALL INFORMATION PERTINENT TO THIS REQUEST FOR INFORMATION CAN BE FOUND ON THE INTERNET AT: <http://das.nebraska.gov/materiel/purchasing.html>

A. SCHEDULE OF EVENTS

The State expects to adhere to the tentative procurement schedule shown below. It should be noted, however, that some dates are approximate and subject to change.

	ACTIVITY	DATE/TIME
1	Release Request for Information	May 10 th , 2019
2	Last day to submit written questions	May 20 th , 2019
3	State responds to written questions through Request for Information "Addendum" and/or "Amendment" to be posted to the internet at: http://das.nebraska.gov/materiel/purchasing.html	May 24 th , 2019
4	RFI Opening Location: Nebraska Department of Transportation Operations Division 5001 South 14 th Street Lincoln, NE 68512	June 4 th , 2019 3:00 p.m. Central Time
5	Conduct oral interviews/presentations and/or demonstrations	TBD

II. RFI RESPONSE PROCEDURES

A. OFFICE AND CONTACT PERSON

Responsibilities related to this Request for Information reside with the Nebraska Department of Transportation. The point of contact for the RFI is as follows:

Name: Brandy Henke
Agency: Nebraska Department of Transportation
Address: 5001 South 14th Street
Lincoln, NE 68512
Telephone: 402-479-4328
E-Mail: NDOT.OperationsProcurement@nebraska.gov

B. GENERAL INFORMATION

A subsequent Request for Proposal (RFP) may not be issued as a result of this RFI. There will not be a contract as a result of this RFI and the State is not liable for any cost incurred by vendors in replying to this RFI. If an RFP is issued, the information provided will assist the State of Nebraska in developing the Request for Proposal. This RFI does not obligate the State to reply to the RFI responses, to issue an RFP, or to include any RFI provisions or responses provided by vendors in any RFP.

C. COMMUNICATION WITH STATE STAFF

From the date the Request for Information is issued and until RFI opening (as shown in the Schedule of Events), contact regarding this RFI between potential vendors and individuals employed by the State is restricted to written communication with the staff designated above as the point of contact for this Request for Information.

The following exceptions to these restrictions are permitted:

1. Written communication with the person(s) designated as the point(s) of contact for this Request for Information;
2. Contacts made pursuant to any pre-existing contracts or obligations; and
3. State-requested presentations, key personnel interviews, clarification sessions or discussions.

Violations of these conditions may be considered sufficient cause to reject a vendor's response to the RFI. No individual member of the State, employee of the State, or member of the Interview Committee is empowered to make binding statements regarding this RFI. The Department of Transportation will issue any clarifications or opinions regarding this RFI in writing.

D. WRITTEN QUESTIONS AND ANSWERS

Any explanation desired by a vendor regarding the meaning or interpretation of any Request for Information provision should be submitted in writing to the Nebraska Department of Transportation and clearly marked "RFI Number R206-19; Modernize NDOT Financial Management System Questions". It is preferred that questions be sent via e-mail to NDOT.OperationsProcurement@nebraska.gov.

It is recommended that vendors submit questions sequentially numbered, include the RFI reference and page number using the following format.

<u>Question Number</u>	<u>RFI Section Reference</u>	<u>RFI Page Number</u>	<u>Question</u>

Written answers will be provided through an addendum to be posted on the Internet at <http://das.nebraska.gov/materiel/purchasing/> on or before the date shown in the Schedule of Events.

E. DISCUSSION OF QUALIFICATIONS

The Review Committee(s) may conclude that oral interviews/presentations and/or demonstrations are required. All vendors may not have an opportunity to interview/present and/or give demonstrations. The State reserves the right to conduct oral interviews/presentations and/or demonstrations if required at the sole invitation of the State. The presentation process will allow the vendors to demonstrate their RFI offering, explaining and/or clarifying any unusual or significant elements related to their response.

Any cost incidental to the oral interviews/presentations and/or demonstrations shall be borne entirely by the vendor and will not be compensated by the State

F. SUBMISSION OF RFI RESPONSE

The following describes the requirements related to the RFI submission, handling and review by the State.

To facilitate the response review process, one (1) original of the entire RFI response should be submitted. RFI responses should be submitted by the RFI due date and time.

A separate sheet must be provided that clearly states which sections have been submitted as proprietary or have copyrighted materials. RFI responses should reference the request for information number and be sent to the specified address or emailed to: NDOT.OperationsProcurement@nebraska.gov. Please note that the address label should appear as specified on the face of each container. If a recipient phone number is required for delivery purposes, 402-479-4328 should be used. The Request for Information number must be included in all correspondence. When emailing RFI responses, note the file size limit is 20MB.

Attachment A – Vendor Contact Sheet should be completed and submitted with each response to this solicitation document.

G. PROPRIETARY INFORMATION

Data contained in the response and all documentation provided therein, become the property of the State of Nebraska and the data become public information upon opening the response. If the vendor wishes to have any information withheld from the public, such information must fall within the definition of proprietary information contained within Nebraska's public record statutes. All proprietary information the vendor wishes the state to withhold must be submitted in a sealed package, which is separate from the remainder of the response. The separate package must be clearly marked PROPRIETARY on the outside of the package. Vendor may not mark their entire Request for Information as proprietary. Failure of the vendor to follow the instructions for submitting proprietary and copyrighted information may result in the information being viewed by other vendors and the public. Proprietary information is defined as trade secrets, academic and scientific research work which is in progress and unpublished, and other information which if released would give advantage to business competitors and serve no public purpose (see Neb. Rev. Stat. § 84-712.05(3)). In accordance with Attorney General Opinions 92068 and 97033, vendors submitting information as proprietary may be required to prove specific, named competitor(s) who would be advantaged by release of the information and the specific advantage the competitor(s) would receive. Although every effort will be made to withhold information that is properly submitted as proprietary and meets the State's definition of proprietary information, the

State is under no obligation to maintain the confidentiality of proprietary information and accepts no liability for the release of such information.

H. REQUEST FOR INFORMATION OPENING

The sealed responses will be publicly opened and the responding entities announced on the date, time, and location shown in the Schedule of Events. Responses will be available for viewing by those present after the opening. Vendors may also contact the state to schedule an appointment for viewing RFI responses.

III. PROJECT DESCRIPTION AND SCOPE OF WORK

The bidder should provide the following information in response to this Request for Information.

A. PURPOSE AND BACKGROUND

The Nebraska Department of Transportation (NDOT) is seeking information on available ways of improving its Financial Management Systems and/or possible replacement with software system(s) capable of managing financials suitable for a State Department of Transportation.

This RFI process is intended to help vendors gain an understanding of the State's intent, and for vendors to convey to NDOT their qualifications to assist in development of a roadmap for modernization of NDOT's Financial Management Systems.

The goals are :

1. Provide for an analysis of NDOT's existing financial systems and based on the analysis results, provide options and recommendations for best practices of NDOT's financial systems and processes.
2. Review NDOT's processes to be lean where possible and implement automation of specific processes where possible, while ensuring that employees' time can be used for more mission-critical daily tasks.
3. NDOT desires to obtain the expertise of an independent consultant who does not have a financial tie to a vendor of Enterprise Resource Planning (ERP) system(s).
4. NDOT's interest is to have a best overall solution recommendation containing a roadmap for the redevelopment/modernization of its existing financial systems. Such a recommendation may have possible inclusion of Commercial Off The Shelf (COTS) software. All considerations must maintain those necessary integration points and interfaces with the State of Nebraska's Department of Administrative Services (DAS) financials and be compatible with NDOT's technical environment to allow for ease of continued maintenance and support.

Note: Current Technical Environment at NDOT is described in *Attachment C – NDOT Technical Environment*.

B. CURRENT BUSINESS PRACTICES

Until a system has been identified that meets NDOT's business needs as identified during the assessment, the current practices will be used. For more information on current business practices, see the description of the current financial systems in the next section, CURRENT ENVIRONMENT.

C. CURRENT ENVIRONMENT

The Nebraska Department of Transportation (NDOT) is responsible for the planning, development, design, construction, maintenance and administration of the state highway system and three airports. For the management and maintenance of the State's infrastructure, NDOT receives revenue from multiple sources including the State budget, Federal funds, motor fuel tax, motor vehicle registrations, among others. These revenue streams help maintain the State's infrastructure that includes:

- 98,000 miles of public roads
- 3,500+ bridges
- 599 buildings in 119 locations
- Fleets of over 2,100 cars, pickups, trucks and graders
- Three (3) airports

Moving legacy applications off of the mainframe is but one of NDOT's goals. NDOT is a Microsoft-based shop utilizing newer technologies such as C#, .NET, and SQL Server while our software development methodology follows the Agile practice.

The current Technical Environment at NDOT is described in *Attachment C – NDOT Technical Environment*.

The current Financial data is comprised of these major systems:

1. Roads Billing System (RBS) is used to invoice and receipt from different entities. These entities include, but are not limited to, Cities, Counties, The Federal Highway Administration and other States, where the data has been tracked within the Project Finance System. The Federal Billings are generated from the Project Finance System and a file is loaded into RBS to create the Invoice. Invoices are also created to bill for State Property Damage that is tracked in a sub-system of RBS. Some of the Invoices interface into the State Accounting System (E1). Receipts are generated manually and from a file from E1.
2. Road Payment System (RPS) is used to create the payments to vendors and employees (expense vouchers). The majority of the payments interface to the State Accounting System (E1). Daily a file from the E1 updates the payments with the warrant number.
3. Payroll costs and benefits are calculated from E1 and interface back to NDOT. The labor hours are reconciled back to Kronos, so that they may be cost to the correct activity and other reporting codes. Other reporting codes may include, but not limited to: equipment, work orders, projects, highway and mile marker/signal/bridge, buildings, yards, etc.
4. General Ledger System (GL) is used to accumulate all financial transactions for financial reporting.
5. Project Finance System (PFS) is used to obligate Federal funds for federally approved projects, and estimate project expenses to the project, work phase, type of expense and federal apportionment. This system creates the Federal billings and tracks all billings and receipts by project, work phase and apportionments.
6. Roads Financial Edits is used to create/maintain the Accounting Manual, payroll additive, the E1 business unit and object code, the five core accounting data elements used for NDOT cost systems and General Ledger, Budget and Project Finance controls. The edit program is used to determine correct account coding and other required (or optional) data such as a building, project or equipment used. The edit program validates the five coding elements, determines if other required fields must be populated and validates that the additional required data is correct by checking other master data systems outside the financial systems. All cost records must meet and pass the requirements of the edit process prior to posting and distribution of those costs in the appropriate systems.
7. NDOT implemented the Kronos Cloud Version 7.0.15 in May 2018 to manage NDOT's time keeping records for its employees and will soon upgrade to Kronos Version 8.1.3. Kronos also tracks equipment and material usage.

There are numerous other systems that integrate with the Financial Management System. These are noted in *Attachment B – NDOT Financials Management System*.

D. SYSTEM OVERVIEW

NDOT is interested in learning of best practices incorporated by other state's DOT's and their financial systems. NDOT has an interest in making improvements within its current financial systems and moving to a new modernized supportable platform or a possible implementation of a totally new modernized NDOT Financial System. With either option, NDOT wishes the result to provide for a cleaner, more robust system that ensures the integration of necessary data elements and reduces time spent managing such a system.

Project Objectives

The new modernized NDOT Financial System(s) will meet the following objectives:

1. Aid the NDOT in the planning process with goals focused on changing and improving upon any major issues as identified in the full analysis of NDOT's Financial Systems.
2. Any application enhancements or replacement suggestions identified will meet the business and technical requirements defined following the full analysis of NDOT's Financial Systems as governed by all stakeholders, and the input of the project team.
3. Enable the NDOT to maintain its responsibilities for establishing and maintaining effective internal control over financial reporting, which includes safeguarding of assets and compliance with all applicable laws and regulations.
4. Provide overall consistent and reliable financial service(s) for the NDOT.
5. Provide abilities to track and control internal and external funding sources and manage fiscal and multi-year budgets.
6. Safeguard the integrity of NDOT financial data and the NDOT Financial Systems.
7. Leverage business knowledge and system expertise to the fullest extent possible.
8. Reduce duplication of effort, eliminate redundant practices and share in transparency.
9. Partner with other State agencies, where possible to meet enterprise business needs and technical interfacing.

E. VENDOR RESPONSE

Vendors are asked to provide a two page Letter of Interest that addresses the needs of NDOT.

When responding to this RFI, the vendor should describe in their response the following:

1. Describe your company's qualifications and experience with recommending modernization strategies and implementing financial systems for any government entity. Provide specific description of your company's experience with respect to state Departments of Transportation.
2. Describe your process for performing detailed analysis of NDOT's existing financial systems.
3. Describe your process for presenting best practices, recommendations, options, and possible solutions for modernizing NDOT's financial systems.

ATTACHMENT A

VENDOR CONTACT SHEET

Request for Information Number R206-19

Attachment A should be completed and submitted with each response to this solicitation document. This is intended to provide the State with information on the vendor's name and address, and the specific persons who are responsible for preparation of the vendor's response.

Preparation of Response Contact Information	
Vendor Name:	
Vendor Address:	
Contact Person & Title:	
E-mail Address:	
Telephone Number (Office):	
Telephone Number (Cellular):	
Fax Number:	

Each vendor shall also designate a specific contact person who will be responsible for responding to the State if any clarifications of the vendor's response should become necessary. This will also be the person who the State contacts to set up a presentation/demonstration, if required.

Communication with the State Contact Information	
Vendor Name:	
Vendor Address:	
Contact Person & Title:	
E-mail Address:	
Telephone Number (Office):	
Telephone Number (Cellular):	
Fax Number:	

ATTACHMENT C

NDOT TECHNICAL ENVIRONMENT

1. INFRASTRUCTURE

- a. Microsoft IIS
 - 1) On Win8 Developer machines this is v7.0
 - 2) On Win10 Developer machines this is v10.0
- b. Microsoft Windows Server 2016
- c. Microsoft Windows Workstations – Windows 7 / 8.1 – Moving to Windows 10 in progress
- d. Hyper-V Virtual Servers
- e. CICS 4.x
- f. IBM z/OS v2.2
- g. IBM z13 model 2964
- h. COBOL 6.2

2. DATABASE

- a. Microsoft SQL Server 2016
- b. IBM DB2 v11.1 z/OS (data access) Clients are v10.5
- c. DB2 LAN v10.5
- d. OBIEE (OnBase Enterprise Reporting / Oracle product)

3. DEVELOPMENT

- a. Microsoft .NET Platform 4.5
- b. ASP.NET 4.0
- c. Visual Studio 2017
- d. SSRS / SSIS / SSAS
- e. Telerik Development Tools
- f. Team Foundation Server 201x – This is now in Azure DevOps.
- g. MicroFocus EDz v4.0
- h. OnBase Studio 16.1 - Will be going to v18.1 in 2nd qtr of 2019

4. ENTERPRISE

- a. Internet Explorer 11 / Edge / Chrome / Safari
- b. Microsoft Outlook/Exchange
- c. Microsoft Office 2013 / 2016
- d. OnBase ECM v16 moving to v18.1 in 2nd qtr of 2019

5. GIS

- a. ESRI ArcMap Desktop version 10.4.1
- b. ESRI ArcGIS Pro version 2.0
- c. Geomedia Professional 2016
- d. Geocortex Viewer 2.11, Essentials Mgr v4.6, v.4 workflow & moving to v.5