

New York Liquidation Bureau  
180 Maiden Lane  
New York, NY 10038  
[www.nylb.org](http://www.nylb.org)

Date Posted:  
October 13, 2020

Proposal Submission Deadline:  
November 13, 2020 at 5:00 pm (EST)

# REQUEST FOR PROPOSAL

NETWORK AND VOICE  
SUPPORT SERVICES

*For the New York Liquidation Bureau*

# REQUEST FOR PROPOSALS

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# REQUEST FOR PROPOSALS

## Request for Proposals

### THE NEW YORK LIQUIDATION BUREAU

The New York Liquidation Bureau (“NYLB”) carries out the responsibilities of the Superintendent of Financial Services of the State of New York (“Superintendent”) as receiver (“Receiver”) administering the affairs of impaired or insolvent insurance companies that are in court-ordered receivership.

The NYLB invites all qualified firms that provide network and voice support services (each, a “Bidder”) to draft and submit, at Bidder’s sole expense, a proposal (“Proposal”) in accordance with the requirements outlined in this request for proposal (“RFP”). The selected Bidder (“Awardee”), if any, will perform services solely on behalf of the Superintendent as Receiver of impaired or insolvent insurance companies, not in her capacity as regulator.

### TIMETABLE OF KEY EVENTS

The NYLB reserves the right, in its sole discretion, to modify any event, time, or date in the timetable below. The NYLB will notify Bidders of any changes.

Event	Date
RFP posting on NYLB website	October 13, 2020
Deadline to submit written questions to the NYLB	November 6, 2020
Deadline to submit Proposals to the NYLB	November 13, 2020

# DESCRIPTION OF SERVICES REQUESTED

## Description of Services Requested

The NYLB seeks a vendor to provide network and voice support for the NYLB's consolidated data network and voice network (together, the "Network").

### THE EQUIPMENT

The Network is comprised of Cisco devices that include the following equipment (collectively, the "Equipment"):

- Cisco 2960x and 3850 Switches
- Cisco ISR 4300 Routers
- Cisco UCS Servers
- Cisco ASA Firewalls
- Cisco Firepower Services
- Cisco Meraki Wireless
- Cisco Meraki Cameras
- Cisco 7800, 8831 and 8851 IP Phones
- APC Managed UPS
- Raritan PDUs

The Equipment is under warranty with Cisco. Replacement of any faulty Equipment is the responsibility of Cisco and is not included in the scope of services required.

### NYLB TECHNOLOGY

While Network support will not require server or desktop work, vendors should have the requisite knowledge to provide optimal support regarding the technologies employed by the NYLB, which include:

- Windows Server 2012, 2016 and 2019
- SQL Server 2012 and 2016
- Citrix Virtual Desktop Infrastructure
- Forcepoint internet filtering
- Virtual private networks

# DESCRIPTION OF SERVICES REQUESTED

## NETWORK AND VOICE SUPPORT SERVICES

Required services for the Network include:

- Remote 24/7 Network monitoring and support, including issue alerts to designated NYLB staff, and technician dispatch for on-site resolution if a problem cannot be resolved remotely within timeframes specified by the NYLB:
  - Critical outage, including internet connectivity or telephony service, Network intrusions, attacks or other abnormal network traffic: 15 minute response required.
  - Non-critical outage, including hardware failure where Network can function on backup equipment until the faulty component is repaired and/or replaced: Next business day response is required.
- Warranty management for all Smartnet and Smartcare covered devices and acquisition of backup hardware for emergencies
- Advanced operating system-level troubleshooting
- Collaboration with Cisco to develop unique or specific solutions to Network issues, if necessary
- Optimization of switching matrix to maximize throughput and redundancy
- Cisco operating systems and Cisco appliance software upgrades and patches
- Equipment upgrades and patches to ensure the most secure and robust software is installed
- Set up and maintenance of diagnostic tools to proactively alert the NYLB of potential issues prior to Network performance degradation
- Real-time, web-based system for tracking service requests and providing the NYLB with service metrics, such as number of service tickets opened, age and time to close service tickets
- Data and voice connectivity management from the Network's four carriers that provide P2P, DIA and SIP service to proactively address potential carrier issues
- Initiation and maintenance of failover procedures to reduce the Network downtime to an absolute minimum in the event of a Network carrier outage
- Quarterly failover tests in coordination with the NYLB and the NYLB's cloud service provider
- Maintenance of updated drawings and other Network documentation, including delivery of current, color 11x14 drawings and PDF copies of the Network to the NYLB on a quarterly basis or upon completion of substantive changes to the network topology
- Maintenance of the Network's metrics reports to assist the NYLB's Information Technologies Systems management in planning for process improvement and required upgrades to the Equipment
- Quarterly Network security assessment and penetration tests within parameters set by the NYLB

# DESCRIPTION OF SERVICES REQUESTED

- Changing passwords for Network security and on-demand, (i.e. when a member of the Network administration staff departs from service with the NYLB); and
- Minimum of 40 hours per year of proactive or project work. The proactive or project work component must be specifically set forth in the Proposal (i.e. the creation of a new virtual LAN, creation of a VPN, or other related work).

## TERM OF SERVICE AGREEMENT

The anticipated term of the service agreement is three years, with the Receiver's option to renew for an additional two-year term.

# RULES AND INSTRUCTIONS

## Rules and Instructions

### QUESTIONS

All questions regarding this RFP must be submitted in writing via email to the NYLB Chief Compliance Officer & Counsel at [compliance@nylb.org](mailto:compliance@nylb.org) no later than **November 6, 2020 at 5:00 pm (EST)**, unless such deadline is extended in writing by, and in the sole discretion of, the NYLB. Responses will be provided to Bidders via email.

### RESTRICTED COMMUNICATIONS

The NYLB Chief Compliance Officer & Counsel is the sole point of contact for the RFP. Except as necessary for conducting previously established business with the NYLB, Bidders may not communicate with NYLB personnel other than the NYLB Chief Compliance Officer & Counsel until an Awardee is selected and announced. The NYLB will disqualify a Bidder that engages in a prohibited communication material in nature, as determined by the NYLB in its sole discretion. Any RFP-related information provided by someone other than the NYLB Chief Compliance Officer & Counsel will not be considered binding.

### ADDITIONAL TERMS

Each Proposal must adhere to the requirements outlined in this RFP. Non-compliance may result in disqualification. The NYLB, in its sole discretion, may modify, rescind or provide an addendum to this RFP. This RFP and any subsequent modifications are the sole reference and authority for the preparation of a Proposal. This RFP, together with any other information provided during the RFP process, supersedes all prior RFPs, agreements, understandings or other information related to the requested services, regardless of source or form.

This RFP does not obligate the NYLB to enter into a service agreement with any Bidder. Bidder is solely responsible for all costs and expenses related to the Proposal, including development costs or any expenses incurred in responding to the NYLB post-submission.

All submissions and any data or other information shared with the NYLB during the RFP process become the property of the NYLB and will not be returned. The NYLB will safeguard and maintain the confidentiality of such information to the same extent it safeguards its own confidential information. Please note that the NYLB is not subject to the New York State Freedom of Information Law (FOIL). Therefore, Proposals, evaluations and any other non-public information related to the RFP process are not subject to disclosure.



# BIDDER REQUIREMENTS

## Bidder Requirements

### MINIMUM QUALIFICATIONS

Bidder must possess, in its own name, all requisite licenses, certifications, permits, approvals and authorizations required under federal, state or local law to perform the services requested, and must be in good standing and not subject to any regulatory proceedings that could result in suspension, revocation, or other limitation on its ability to provide such services.

Bidder must have a minimum of 5 years of experience providing the services requested in this RFP.

Bidder must be recognized or registered as, at a minimum, a Microsoft Gold Certified Partner and a Cisco Premier Partner.

### INSURANCE

Bidder must, at its own cost and expense, obtain and maintain in full force and effect during the service agreement term, the insurance coverage noted below, with admitted or licensed insurers in the State of New York that have an A. M. Best rating of not less than "A-", and are in a size category not lower than "VIII." Bidder must require any subcontractors working on the NYLB account to carry insurance with the same provisions specified below and limits accepted by the NYLB.

#### **Cyber Liability**

Bidder must maintain network security and privacy liability ("Cyber Liability") insurance covering liability involving privacy violations, information theft, damage to or destruction of electronic information, intentional or unintentional release of private information, alteration of electronic information, extortion or network security. Coverage must remain in effect for an additional one (1) year following the expiration of the service agreement term.

Cyber Liability insurance must provide coverage for first party costs and third party liability, including, but not limited to:

- Forensic investigations;
- Notification costs of communicating the breach;
- Legal defense;
- Settlements, damages and judgments related to the breach; and
- Cost of responding to regulatory inquiries and payment of penalties.

# BIDDER REQUIREMENTS

## **Professional Liability/Errors and Omissions**

Bidder must maintain professional liability/errors and omissions insurance to cover errors and omissions that result in financial loss to the vendor or the NYLB. If written on a “claims-made” basis, the retroactive date must pre-date the effective date of the service agreement. Coverage must remain in effect for an additional one (1) year following the expiration of the service agreement term.

## **Commercial General Liability**

Bidder must maintain commercial general liability insurance (property and bodily injury) and umbrella/excess insurance.

## **Workers Compensation**

Bidder must maintain at least the minimum Workers’ Compensation Insurance required by New York law covering all of its employees.

Each policy, except workers compensation, must name the Receiver and the NYLB as additional insureds, and must be written on primary coverage, non-contributory basis. Each coverage must include a waiver of the insurer’s right of subrogation against the NYLB, the Receiver, and their officers, agents, and employees.

Bidder must provide the NYLB with at least sixty (60) days’ prior written notice of cancellation, termination or modification of coverage resulting in Bidder’s non-compliance with the above requirements.

# PROPOSAL REQUIREMENTS

## Proposal Requirements

Proposals must contain all information requested below. Material deviations from the required format may result in disqualification of the Proposal. If an item does not apply, Bidder must specifically indicate that the item is not applicable. Bidders may not satisfy an item of requested information by submitting or referring to a brochure, promotional or descriptive literature, or any other document unless otherwise indicated.

### ORGANIZATION

1. Provide the Bidder's name, and the name(s), title(s), address(es), e-mail address(es), and telephone number(s) of the individual(s) responsible for responding to this request.
2. Describe the number of Bidder's employees, offices and locations. Provide location and contact information for the individuals that would serve the NYLB account.
3. Provide a general description of Bidder, including its history, number of years in business, business focus, other names used by Bidder, parent or affiliate organizations and current ownership structure. Indicate if Bidder is publicly traded or privately held. Provide an organizational chart of Bidder and the owners, principals and employees. If Bidder has experienced a material change in organizational structure, ownership or management in the past three years, please describe.
4. Describe Bidder's other business affiliations, including subsidiaries, joint ventures with third parties and other contractual arrangements with any internal or external business partner that could relate to the services requested in this RFP.
5. If Bidder intends to use any subcontractors or affiliates to provide the services described in this RFP, provide the name and qualifications for any subcontractor or affiliate.
6. Provide Bidder's tax identification number and Certificate of Authority to do business in the State of New York.
7. Provide documentation evidencing that Bidder is currently recognized or registered as, at a minimum, a Microsoft Gold Certified Partner and a Cisco Premier Partner.
8. Describe the financial condition of Bidder and include a copy of Bidder's financial statement for the three (3) most recent annual reporting periods.

# PROPOSAL REQUIREMENTS

## EXPERIENCE AND EXPERTISE

1. Describe Bidder's overall approach to network support services and qualifications and experience in performing such services, including for governmental and quasi-governmental entities or similar entities.
2. List clients for which Bidder provides or has provided the type of services contemplated by this RFP. Include contact name, title and contact information, and time period of client relationship.
3. Describe whether Bidder receives any form of compensation for client transactions other than direct fees paid by client. If so, please describe each additional form of compensation.
4. Provide resumes and biographical information on key personnel who will be directly involved in the NYLB account. Include length of service with Bidder, total years of experience, and professional licenses and designations. Include the number of accounts managed and any limits on the number of accounts managed. Note staff turnover by year for the last three years.
5. Describe Bidder's commitment to training and education to keep personnel informed of developments and legal requirements relevant to the provision of network services.
6. Describe the frequency and format of reports that you would provide to the NYLB, including to what extent the reports can be customized. Attach a sample report.

# PROPOSAL REQUIREMENTS

## REPUTATION AND INTEGRITY

1. Certify that Bidder and all staff who may potentially work on the assignments are in good standing in all jurisdictions in which they have been licensed or certified.
2. Disclose whether within the last ten years Bidder or any officer, principal or employee has been involved in any litigation, criminal charges, criminal convictions, administrative audits or investigations or other legal or administrative proceedings involving fraud, dishonesty, negligence or breach of fiduciary duty relating to the type of services requested in this RFP. If so, please provide a full explanation and indicate the status or disposition of these proceedings.
3. Describe any investigation, litigation, settlement, regulatory censure or other non-routine administrative action from any state or federal agency, governmental or regulatory authority, licensing body, trade group or professional or industry association, or disciplinary or ethics panel(s) involving Bidder, its officers, principals or employees within the past ten years. Describe the charges involved, the resolution of each charge and any penalty, tax, fine or other sanction.
4. Describe Bidder's insurance coverage, including insurance outlined in Bidder Requirements, that would cover the services requested in this RFP. Provide minimum limits on a per occurrence and aggregate basis. Please provide a valid, current certificate of insurance showing the limits of coverage and any riders, exclusions or other coverage limitations.
5. Indicate whether Bidder has submitted a claim to any of its errors and omissions insurance policies or professional liability policies. If so, please provide a description of the claim and its status.
6. Confirm whether Bidder has a compliance officer on staff. If so, describe the compliance officer's role and duties with respect to the services contemplated by this RFP.
7. List three key factors that distinguish Bidder from its competitors. Describe any significant or unique awards received or accomplishments relating to Bidder or Bidder's services.
8. Provide the names of at least three (3) references for the type of work requested in this RFP. Include the name of the organization; the name, address, telephone number and email address for the reference contact person and describe the nature of the work performed for the organization.

# PROPOSAL REQUIREMENTS

## CYBERSECURITY AND IT REQUIREMENTS

1. Confirm that all data provided by the NYLB will be stored within the continental United States in a dedicated hosting environment and within encrypted applications supported by their respective licensors/manufacturers.
2. Confirm that all data transmitted will be protected and encrypted while in transit, and describe encryption and transfer methodology.
3. Describe encryption at-rest methodology and encryption key management process.
4. Describe how NYLB-related data and configurations are segregated from the data and configurations of Bidder and its other customers.
5. Confirm that all devices used by Bidder and its employees and subcontractors, if any, are protected and updated with the latest antivirus and malware software.
6. Provide current certifications of information and technology audits and System and Organization Control Reports (Type 1 and Type II).
7. Provide Bidder's cybersecurity and access control policies, and indicate frequency of reviews/updates.
8. Describe employee security awareness training program (including whether employees are tested), if applicable, and frequency of training.
9. Describe client notification process for known security vulnerabilities, if applicable, including circumstances warranting client notification.
10. Describe data protection standards in place and any "best practices" implemented.
11. Describe change control management process.
12. Describe business recovery plan, if applicable, including frequency of testing.
13. If, in the last five years, Bidder has experienced a data breach or data security incident that was reportable under law or for which Bidder has been subject to discipline or sanction by a regulatory body, provide detail.
14. If, in the last five years, Bidder has been sued by a private party or regulatory body for a breach of data or security, provide detail.
15. NYLB utilizes .NET framework 4.7.2 or higher. Confirm that Bidder utilizes a system that can communicate with the NYLB framework and can provide data in text (.txt), comma separated values (.csv), Excel (.xlsx) or JSON (Javascript Object Notation) format.

# PROPOSAL REQUIREMENTS

## POTENTIAL CONFLICTS OF INTEREST

1. Describe Bidder's conflict of interest policies.
2. Identify all known employees of Bidder, or any parent, subsidiary or affiliate of Bidder, who are related by blood or marriage to any NYLB employee and/or who are living in the same household as any NYLB employee, or who were previously employed by the NYLB.
3. Identify all known NYLB employees previously employed by Bidder or any parent, subsidiary or affiliate of Bidder.
4. Indicate whether Bidder, or any parent, subsidiary or affiliate of Bidder, has been involved in litigation against the Superintendent, the NYLB and/or its estates within the last 10 years as a party, witness or otherwise.
5. List the names of all persons or entities, if any, asserting claims against the NYLB and/or its estates for which Bidder is currently performing work.
6. State whether Bidder has previously provided services to the NYLB, including whether Bidder has any financial interest in any organization that has contracted to provide services to the NYLB.

## EEO/DIVERSITY/MWBE STATUS

1. Demonstrate that Bidder complies with all relevant federal, state and local equal employment opportunity and non-discrimination laws, regulations and executive orders. Attach equal employment opportunity and diversity policy statements or other official firm documents.
2. If Bidder is certified as a Minority or Women Owned Business Enterprise ("MWBE") with the New York State Department of Economic Development, provide copy of certification. If Bidder has applied for but has not yet been granted MWBE certification as of the date of the Proposal submission, submit proof of a pending application, including filing date.
3. List any other jurisdiction or certifying body that has deemed Bidder minority or women owned, and provide copy of certification.
4. Provide any other data reflecting Bidder's commitment to workplace and supplier diversity.

## FEES

1. Set forth a complete and detailed description of Bidder's proposed fee schedule, including a detailed description of the services covered by the fee schedule, and any ancillary services available, including any separate fees associated with each ancillary service.
2. Indicate if there are any other expenses not covered by the fee structure for which the NYLB would be responsible.

# PROPOSAL SUBMISSION

## Proposal Submission

### BID DEADLINE

All Proposals must be delivered via email for receipt no later than **November 13, 2020 at 5:00 pm (EST)**, unless such deadline is extended in writing by the NYLB, in its sole discretion. Bidders assume all risk for timely, properly submitted deliveries. A Proposal that is late, incomplete, or otherwise not in compliance with the requirements of this RFP will be disqualified from consideration.

### PROPOSAL DELIVERY

Proposals must be executed by a representative duly authorized to sign the Proposal and a service agreement. A PDF copy of the original, executed version of the Proposal must be delivered via email to the NYLB Chief Compliance Officer & Counsel at [compliance@nylb.org](mailto:compliance@nylb.org).

By submitting an executed Proposal in response to this RFP, Bidder acknowledges and agrees that:

- Bidder has reviewed this RFP in its entirety and agrees to be bound by its terms and conditions. Failure to comply may result in disqualification or termination of service agreement.
- The information in the Proposal is true, accurate and complete.
- Bidder meets the Bidder requirements in this RFP, and possesses the staff, administrative capacity and resources (including financial, operational and information technology systems) necessary to perform high quality and cost-effective work to achieve the NYLB's objectives.
- Bidder will fully cooperate with all requests for information and/or clarification of the Proposal.
- Proposals, evaluations and any other non-public information related to the RFP process are not subject to disclosure. Bidder will not seek such information pursuant to FOIL or otherwise.
- The Proposal, including fees and pricing, is valid and binding until the NYLB and the Awardee execute a service agreement.
- Bidder will not make references to the NYLB in any literature, promotional material, brochures, sales presentations, interviews or similar materials without the prior, express, written consent of the NYLB.



# EVALUATION AND AWARD

## Evaluation and Award

### EVALUATION COMMITTEE

Under the supervision of the NYLB Chief Compliance Officer & Counsel, an evaluation committee will consider all qualifying Proposals. The evaluation committee may request: an interview with a Bidder by video conference; written answers to questions; or any other information or supplemental response. Any additional information obtained from such request(s) will be considered part of Bidder's Proposal.

The evaluation committee's selection of an Awardee is subject to Special Deputy Superintendent approval and the negotiation and execution of a mutually acceptable service agreement.

### AWARD

The evaluation committee will select the Awardee that best meets the needs of the NYLB based on the contents of each qualifying Proposal, including appropriate expertise, staffing/resources and cost. The NYLB Chief Compliance Officer & Counsel will notify the Awardee and unsuccessful Bidders in writing via email.

The NYLB will not disclose the identity of the Awardee until a mutually acceptable service agreement is executed by the parties. The NYLB will not provide unsuccessful Bidders with information concerning the identity or number of other Bidders or Proposals considered, the evaluation committee's deliberations, or other non-public information concerning the RFP process.

### EXECUTION OF SERVICE AGREEMENT

The parties must execute a mutually acceptable service agreement. If the Awardee fails to execute a service agreement within a reasonable period of time, as determined by the NYLB in its sole discretion, the NYLB may rescind the award and select another Bidder as Awardee.

# RESERVATION OF RIGHTS

## Reservation of Rights

The NYLB, in its sole discretion, reserves the rights to:

- Inquire using any means it chooses into a Bidder's background or the contents of a Proposal;
- Disqualify a Bidder if such Bidder, or anyone working for Bidder, has previously failed to perform satisfactorily in connection with public bidding or contracts;
- Accept or reject any and all Proposals received in response to this RFP;
- Request any additional information deemed necessary for proper evaluation of Proposals;
- Revise or amend any provision of this RFP by written notification to Bidders, including extending a deadline regardless of whether Proposals have already been submitted;
- Waive or modify minor discrepancies or irregularities in any Proposal;
- Eliminate any mandatory requirement that is not met by all Bidders;
- Consider late or non-conforming Proposals if the NYLB does not receive an adequate number of compliant Proposals;
- Conduct additional rounds of bidding;
- Negotiate with any, all or none of the Bidders;
- Consider modifications to Proposals at any time before the selection of an Awardee if it is in the best interests of the NYLB;
- Select an Awardee other than the lowest offer;
- Select one or more Bidders as Awardee(s) for all or a portion of the services requested in this RFP;
- Rescind the award and select another Bidder as Awardee if the original Awardee fails to execute a service agreement within the a reasonable period of time, as determined by the NYLB in its sole discretion, or otherwise comply with the terms of this RFP;
- Withdraw the RFP at any time or otherwise decide not to procure services pursuant to the terms of this RFP;
- Utilize any idea from any Proposal.

The NYLB does not waive any other rights in connection with the RFP process.