# Attachment 2

HTFC Section 8 Housing Choice Voucher System RFP Requirements

[1. Solution Functional Requirements 1](#_Toc533877268)

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1. Solution Functional Requirements

This section defines the detailed RFP requirements. **Error! Reference source not found.** is comprised of the Solution Functional Requirements and contains the following columns:

* Column 1, REQ ID. Indicates the unique requirement identifier. The REQ ID should not be modified in a proposal.
* Column 2, Requirement. The Requirement should not be modified in a proposal. Business Rule and Workflow requirements are marked.
* Column 3, COTS (Yes/No). This column contains the Proposer’s response to whether their solution utilizes a COTS component to meet the respective requirement. If identified as COTS, the Proposer includes the name of the COTS product/component that is proposed to meet the requirement.
* Column 4, Configuration Degree of Complexity (L/M/H). If identified as COTS, this column contains the Proposer’s response regarding the degree of complexity to configure their solution to meet the respective requirement.
* Column 5, Custom (Yes/No). This column contains the Proposer’s response to whether their solution requires customization to meet the respective requirement.
* Column 6, Customization Degree of Complexity (L/M/H). If identified as Custom, this column contains the Proposer’s response regarding the degree of complexity to customize their solution to meet the respective requirement.

Offerers are expected to provide an updated version of this Attachment with the last four columns filled out for each of the requirements in Table 1 as part of their proposal.

Attachment 2, Table 1, Solution Functional Requirements

| REQ ID | Requirement | COTS (Yes/No)  For Yes enter Component Name | Configuration Degree of Complexity (L/M/H) | Custom (Yes/No) | Customization Degree of Complexity (L/M/H) |
| --- | --- | --- | --- | --- | --- |
|  | * 1. Application Intake & Eligibility Screening |  |  |  |  |
| AIE-001 | The solution shall enable the capture and storage of an Application to be added to an open Waitlist and a Lottery (when a closed waitlist is opened), for participation in the HCV program.  Application information includes Applicant's demographics, public housing history, disability status, income, assets, medical expenses, the bedroom size of the unit in which the family currently resides, of family members and their information, head of household identification, family member relation to the head of household, information regarding the possible application of preferences (including veteran status or surviving spouse status, 2017 Mainstream program), etc.  *Note. These are Applications that are entered by LAs when an Applicant comes into their office.* |  |  |  |  |
| AIE-002 | The solution shall enable the tracking of various eligible incomes, such as from wages, from welfare assistance (such as Temporary Assistance for Needy Families [TANF]), from pension and social security benefits, and from other sources such as child support and unemployment insurance, per HUD Form 50058 guidance. |  |  |  |  |
| AIE-003 | The solution shall enable the tracking of itemized assets owned by the Applicant, to enable the calculation of imputed asset income per HUD guidelines. |  |  |  |  |
| AIE-004 | The solution shall enable the tracking of an authorized individual who would act on behalf of Applicants who cannot handle program obligations on their own. This authorized individual would be able to perform all the same functions as the Applicant. |  |  |  |  |
| AIE-005 | The solution shall track the LA who created the Application for an open Waitlist and a Lottery (when a closed Waitlist is opened). |  |  |  |  |
| AIE-006 | The solution shall enable an Applicant to submit and store an Application as a self-service to be added to an open Waitlist and a Lottery (when a closed Waitlist is opened) over the internet. |  |  |  |  |
| AIE-007 | The solution shall enable an Applicant to select and be added to multiple open Waitlists if they meet the income-level requirement for that specific Waitlist. |  |  |  |  |
| AIE-008 | The solution shall enable an Applicant to select the specific Project(s) for which they want to apply to a PBV Waitlist. |  |  |  |  |
| AIE-009 | The solution shall enable the tracking of the date of rejection if an Applicant is rejected by a Project, and consequently their removal from that PBV Waitlist. |  |  |  |  |
| AIE-010 | The solution shall enable the tracking of a Letter of Interest from an Applicant to apply for a housing unit in a newly created Project. |  |  |  |  |
| AIE-011 | The solution shall enable the adding of an Applicant already on a county/NYC Waitlist to one or more PBV Waitlists based on their Letter of Interest. |  |  |  |  |
| AIE-012 | The solution shall enable the identification of eligible waitlisted Applicants and generating Canvas Letters for specific Projects, to be mailed to the Applicants. |  |  |  |  |
| AIE-013 | The solution shall enable the identification of eligible waitlisted Applicants and generating electronic Canvas Letters for specific Projects, to be sent to the Applicants through the Applicant Portal. |  |  |  |  |
| AIE-014 | The solution shall be able to determine eligibility for Canvas Letters based on the Projects in question. (Business Rule) |  |  |  |  |
| AIE-015 | The solution shall enable the tracking of responses from waitlisted Applicants who were canvassed for PBV waitlists. |  |  |  |  |
| AIE-016 | The solution shall generate and send a Receipt of Application notification to the Applicant if they were added to a Waitlist. |  |  |  |  |
| AIE-017 | The solution shall provide the ability to conduct a Lottery and select Applicants to put on a Waitlist.  *Note. There are no lotteries for PBV Waitlists.* |  |  |  |  |
| AIE-018 | The solution shall automatically add Applicants to a Waitlist if they are selected via a Lottery. |  |  |  |  |
| AIE-019 | The solution shall capture and maintain an income limit by county. |  |  |  |  |
| AIE-020 | The solution shall not allow the Application to be put on a Waitlist if the Applicant’s income exceeds the county’s income limit. (Business Rule) |  |  |  |  |
| AIE-021 | For counties with open Waitlists, the Application will be added to a Waitlist if the eligibility screening is successful. |  |  |  |  |
| AIE-022 | The solution shall enable notification of Applicants if their Application is determined ineligible for adding to an open Waitlist or Lottery for a closed Waitlist, including their right to an Informal Review. |  |  |  |  |
| AIE-023 | The solution shall enable an Informal Review of an Application that was denied being added to an open Waitlist. |  |  |  |  |
| AIE-024 | The solution shall enable an Applicant to request an Informal Review, in writing by mail, if their Application was denied being added to an open Waitlist. |  |  |  |  |
| AIE-025 | The solution shall not allow an Applicant to request an Informal Review in writing after 10 business days from the date of notification of denial. (Business Rule) |  |  |  |  |
| AIE-026 | The solution shall enable the scheduling of an Informal Review of a denied Application. |  |  |  |  |
| AIE-027 | The solution shall enable the tracking of the Informal Review, including recording the decision. |  |  |  |  |
| AIE-028 | The solution shall enable updating of the Application based on the outcome of the Informal Review. |  |  |  |  |
| AIE-029 | The solution shall display Applicant information that has been entered into the system. |  |  |  |  |
| AIE-030 | The solution shall enable the modification of Application information. |  |  |  |  |
| AIE-031 | The solution shall support Income Targeting.  *Note: The solution shall provide a report that displays the annual statewide Income Targeting requirements (federal).* |  |  |  |  |
| AIE-032 | The solution shall be able to determine Applicant income and verify whether it is less than 50% of median income for the applicable county. (Business Rule) |  |  |  |  |
| AIE-033 | The solution shall enable information related to senior citizen status of the Applicant to be captured and maintained, for consideration in eligibility determinations. |  |  |  |  |
| AIE-034 | The solution shall enable information related to disabled person on fixed income status of the Applicant to be captured and maintained, for consideration in eligibility determinations. |  |  |  |  |
| AIE-035 | The solution shall enable information related to displaced family status of the Applicant to be captured and maintained, for consideration in eligibility determinations. |  |  |  |  |
| AIE-036 | The solution shall enable information related to homeless individual with disabilities status of the Applicant to be captured and maintained, for consideration in eligibility determinations. |  |  |  |  |
|  | * 1. Waitlist Management |  |  |  |  |
| WLM-001 | The solution shall determine an Applicant’s position on an open Waitlist based on date, time, and preference of the Application. |  |  |  |  |
| WLM -002 | The solution shall determine an Applicant’s position on a Lottery draw based on a random selection of Applicants and preferences. |  |  |  |  |
| WLM-003 | The solution shall enable adding Applicants to a Waitlist. |  |  |  |  |
| WLM-004 | The solution shall automatically update the position of an Applicant on Waitlist based on a change of information on the Application. |  |  |  |  |
| WLM-005 | The solution shall be able to delist a waitlisted Applicant and capture the reason for the action. |  |  |  |  |
| WLM--006 | The solution shall enable the storage and tracking of Applicants delisted from a Waitlist. |  |  |  |  |
| WLM-007 | The solution shall enable adding Applicants back to the Waitlist who had been previously delisted and capturing a reason for the action. |  |  |  |  |
| WLM-008 | The solution shall enable adding Applicants back to the Waitlist who had been previously delisted, and capturing a reason for the action, as well as change the Application Date. |  |  |  |  |
| WLM-009 | The solution shall be able to create a separate Waitlist for each county, NYC, and each PBV project, or as needed. |  |  |  |  |
| WLM-010 | The solution shall enable an Applicant to be added to the Waitlist in multiple counties simultaneously. |  |  |  |  |
| WLM-011 | The solution shall allow Applicants to remain on a Waitlist after updates are made to the Application information that render the Applicant over income. |  |  |  |  |
| WLM-012 | The solution shall enable authorized users to associate a LA to one or more Waitlists and allow authorized users to modify this association. |  |  |  |  |
| WLM-013 | The solution shall allow an Applicant to be on more than one Waitlist. (Business Rule) |  |  |  |  |
| WLM-014 | The solution shall enable the searching of Waitlists and the sorting of search results. |  |  |  |  |
| WLM-015 | The solution shall enable the closing of an open Waitlist. |  |  |  |  |
| WLM-016 | The solution shall enable the opening of a new or previously closed Waitlist. |  |  |  |  |
| WLM-017 | The solution shall track and manage all Projects across the State, including a Project Owner, a Manager, and any special designations, such as Mitchell Lama or tax credit. |  |  |  |  |
| WLM-018 | The solution shall track and manage individual housing units associated with a Project. |  |  |  |  |
| WLM-019 | The solution shall track utilization of the Projects in terms of vouchers that have been allocated to housing units within the Project. |  |  |  |  |
|  | * 1. Applicant Portal |  |  |  |  |
| APP-001 | The solution shall include a secure portal to support self-service capabilities for Applicants of the program. |  |  |  |  |
| APP-002 | The solution shall enable an Applicant to view Applications they have submitted. |  |  |  |  |
| APP-003 | The solution shall enable an Applicant to access, view, download, and print their Receipt of Application notification. |  |  |  |  |
| APP-004 | The solution shall enable an Applicant to view their Waitlist Application status. |  |  |  |  |
| APP-005 | The solution shall enable an Applicant to update their contact information. |  |  |  |  |
| APP-006 | The solution shall enable an Applicant to request modification of their Application information. |  |  |  |  |
| APP-007 | The solution shall not allow an applicant to update of any information on their Application beyond contact information. (Business Rule) |  |  |  |  |
| APP-008 | The solution shall enable an Applicant to request an Informal Review within 10 business days if their Application was denied being added to an open Waitlist. |  |  |  |  |
| APP-009 | The solution shall not allow an Applicant to request an Informal Review after 10 business days from the date of notification of denial. (Business Rule) |  |  |  |  |
| APP-010 | The solution shall enable an Applicant to digitally sign and submit an annual reaffirmation of interest. |  |  |  |  |
| APP-011 | The solution shall enable the Applicant to request a reasonable accommodation and track the status of such request. |  |  |  |  |
| APP-012 | The Applicant portal and all its functionality shall be accessible through a mobile device. |  |  |  |  |
|  | * 1. Case Management – Eligibility Determination |  |  |  |  |
| CSM-001 | The solution shall enable the determination of eligibility of a waitlisted Applicant to participate in the Section 8 program based on: 1) their clearing a criminal background check, 2) rent affordability, 3) income eligibility, and 4) Enterprise Income Verification (EIV) check. |  |  |  |  |
| CSM-002 | The solution shall provide the ability to perform a criminal background check on the Applicant, including a check of their sex offender status.  *Note: This can be built-in functionality or a system integration with an industry-standard background check software.* |  |  |  |  |
| CSM-003 | The solution shall track Applicants who have family members with criminal convictions. A family consists of head of household and any additional family members. |  |  |  |  |
| CSM-004 | The solution shall provide the ability to enter and maintain the HUD Enterprise Income Verification (EIV) check results.  *Note: User logs on to EIV, completes the verification process, and captures results on this solution.* |  |  |  |  |
| CSM-005 | The solution shall provide the ability to enter and maintain verification results for other income sources. |  |  |  |  |
| CSM-006 | The solution shall be able to provide information to confirm rent affordability. The Applicant's total rental payment cannot exceed a certain federally mandated percentage of tenant's monthly adjusted income; this percentage must be configurable. (Business Rule) |  |  |  |  |
| CSM-007 | The solution shall provide a “quick calculator” utility to calculate the Housing Assistance Payment (HAP) amount and the rent share for the Applicant utilizing income information. This calculation is for real-time viewing only and is not retained as part of the Applicant’s information. |  |  |  |  |
| CSM-008 | The solution shall provide a comprehensive Rent Reasonableness determination capability that includes the automated ability to search market data and generate information on comparable housing units, to configure comparability factors within HUD guidelines, and to determine whether the rent to be paid is reasonable. |  |  |  |  |
| CSM-009 | The solution shall be able to issue an available voucher to an Applicant that initially authorizes them to search for a suitable unit within the applicable Voucher Term Minimum. The solution shall enable the generation of a Move Packet, including a blank Request for Tenancy Approval (RFTA), W-9, etc. |  |  |  |  |
| CSM-010 | The solution shall enforce that vouchers will expire after the applicable Voucher Term Minimum and any extensions that have been granted. |  |  |  |  |
| CSM-011 | The solution shall stop the voucher clock when a Request for Tenancy Approval (RFTA) is received, unless the unit search falls through and a new search is commenced. |  |  |  |  |
| CSM-012 | The solution shall enable the generation of documents to assist the Applicant in search for a housing unit.  *Note: Applicant receives documents from HTFC as well as landlord.* |  |  |  |  |
| CSM-013 | The solution shall track the deadline of Voucher Term Minimum in calendar days for the Applicant to respond with a housing unit identified or request an extension. If the deadline expires without either of these events occurring, the voucher shall expire. |  |  |  |  |
| CSM-014 | The solution shall enable Case Managers to grant a voucher term extension to any of their assigned Applicants for an initial term of 60 days, and for 30-day additional extensions, up to a maximum of 120 calendar days. |  |  |  |  |
| CSM-015 | The solution shall enable Case Managers to define user defined alerts associated with any of their assigned Applicant voucher deadlines, including prior to the initial 60-day term, and prior to any extensions that have been assigned. |  |  |  |  |
| CSM-016 | The solution shall enable the granting of an additional voucher term extension based on a reasonable accommodation request from the Applicant. |  |  |  |  |
| CSM-017 | The solution shall provide configurable alerts for approaching deadlines. |  |  |  |  |
| CSM-018 | The solution shall enable the deactivation of a voucher and make it available again. |  |  |  |  |
| CSM-019 | The solution shall enable users, including Applicants and LAs, to upload Applicant documents (Landlord Packet, including a completed Request for Tenancy Approval [RFTA]), either through mail and scanned, or automated via the Applicant Portal. |  |  |  |  |
| CSM-020 | The solution shall enable the creation of a new Owner and maintenance of related information, such as legal Owner or payee. |  |  |  |  |
| CSM-021 | The solution shall enable the requesting of a HUD mandated initial inspection. |  |  |  |  |
| CSM-022 | The solution shall enable the tracking of the inspection outcome (Pass/Fail) and date. |  |  |  |  |
| CSM-023 | The solution shall enable the uploading of the signed Housing Assistance Payment (HAP) contract received from the Owner. |  |  |  |  |
| CSM-024 | The solution shall create a unique identifier for a Participant when the Housing Assistance Payment (HAP) contract is executed and they become active in the program and shall record the effective date and whether the housing unit has a special designation, such as Mitchell Lama or tax credit.  *Note: The HAP contract is a legal contract between the State and the Owner.* |  |  |  |  |
| CSM-025 | The solution shall create a unique identifier for the Owner who signed the Housing Assistance Payment (HAP) contract for the Participant to reside in the unit. |  |  |  |  |
| CSM-026 | The solution shall enable the geocoding of the address of the housing unit for purposes of reporting and data visualization. |  |  |  |  |
| CSM-027 | The solution shall track the utilization of vouchers by LA and by funding increment number. |  |  |  |  |
| CSM-028 | The solution shall enable tracking any program Participants who have family members with criminal convictions, their voucher issuance status, and their program participation status. |  |  |  |  |
| CSM-029 | The solution shall enable the tracking of additional Participant characteristics that would affect their Housing Assistance Payment (HAP) amount, such as elderly or disabled status |  |  |  |  |
| CSM-030 | The solution shall enable the tracking of Participants in the Family Unification Program, Veteran Affairs Supportive Housing, Mainstream 1-year and 5-year, and similar specialized voucher programs. |  |  |  |  |
| CSM-031 | The solution shall enable the tracking of Participants who are entering the program through Portability from a jurisdiction outside the LA network. |  |  |  |  |
| CSM-032 | The solution shall enable the tracking of Participants who are entering the program and are participating in other State programs. |  |  |  |  |
| CSM-033 | The solution shall enable the tracking and maintenance of itemized Utility Reimbursements per HUD Form 50058 guidelines. |  |  |  |  |
| CSM-034 | The solution shall consider various sources of income per HUD Form 50058 guidance, as well as deductions and allowances, and shall compute the monthly adjusted income of the Participant. (Business Rule) |  |  |  |  |
| CSM-035 | The solution shall consider the applicable county’s Utility Allowance Rate and utilities the Applicant is responsible for, in the calculation of the Housing Assistance Payment (HAP) amount. |  |  |  |  |
| CSM-036 | The solution shall enable the override of payment standards by unit size and county in the calculation of the Housing Assistance Payment (HAP) amount for a specific Participant. |  |  |  |  |
| CSM-037 | The solution shall automatically calculate the Housing Assistance Payment (HAP) amount for the Participant based on information about the Participant. The solution shall utilize any applicable Exception Payment Standards for this calculation, based on the location of the housing unit. |  |  |  |  |
| CSM-038 | The solution shall record the date of request for an Informal Hearing if such is received in the event the Applicant/Participant does not agree with the Housing Assistance Payment (HAP) amount that is calculated based on their adjusted gross income. |  |  |  |  |
| CSM-039 | The solution shall record the date of request for an Informal Hearing if such is received in the event the Applicant/Participant does not agree with the determined utility reimbursement. |  |  |  |  |
| CSM-040 | The solution shall record the date of request for an Informal Hearing if such is received in the event the Applicant/Participant does not agree with the determined family unit size. |  |  |  |  |
| CSM-041 | The solution shall record the date of the Informal Hearing, original or latest rescheduled. |  |  |  |  |
| CSM-042 | The solution shall record the date a decision is rendered and shall update the status of the Applicant/Participant accordingly. |  |  |  |  |
|  | * 1. Case Management – Participant Management |  |  |  |  |
| CSM-043 | The solution shall enable the creation, display, and update of Participant information. |  |  |  |  |
| CSM-044 | The solution shall provide a report of new Participants and their status within the Section 8 program. |  |  |  |  |
| CSM-045 | The solution shall enable an association to be created and maintained between a Participant and an LA. This includes the ability to transfer Participants from one LA to another, individually and in bulk. |  |  |  |  |
| CSM-046 | The solution shall enable a Participant to move from their current Section 8 housing unit to a different housing unit if they choose to do so on their own volition, based on availability of a voucher, or for Violence Against Women Act (VAWA)-related reasons. Relevant processes, such as High-Quality Standards (HQS) Inspections will apply for the new housing unit. |  |  |  |  |
| CSM-047 | The solution shall perform a check if a Participant is attempting to transfer from their current LA to another LA within the same Public Housing Authority (PHA) jurisdiction during the initial 12 months of assisted occupancy, if the Participant has violated a Family Self Sufficiency (FSS) obligation, or if the Participant is in a Repayment Agreement, and provide a warning. |  |  |  |  |
| CSM-048 | The solution shall enable an association to be created and maintained between a Participant and a Case Manager. This includes the ability to transfer Participants from one Case Manager to another, individually and in bulk. |  |  |  |  |
| CSM-049 | The solution shall enable the maintenance of supervisory relationships between Case Managers and LAs to support workflow and reporting requirements. |  |  |  |  |
| CSM-050 | The solution shall enable the searching of program Participants based on criteria such as name, address, phone number, and tax identification number (TIN). |  |  |  |  |
| CSM-051 | The solution shall include an appointment scheduling capability for meetings between LA/Statewide staff and Participants/Owners or their designated representative. |  |  |  |  |
| CSM-052 | The solution shall enable the maintenance of bank account information for the Participant. |  |  |  |  |
| CSM-053 | The solution shall enable the tracking and maintenance of HUD defined Section 8 program actions such as Interim Recertifications, Housing Quality Standards (HQS) Inspections, etc. |  |  |  |  |
| CSM-054 | The solution shall enable the substitution of one individual housing unit within a Project with another. |  |  |  |  |
| CSM-055 | The solution shall enable any Participant to submit documentation, including but not limited to a HUD-5382 form, to request an emergency transfer of housing under the Violence Against Women Act (VAWA). |  |  |  |  |
| CSM-056 | The solution shall enable maintenance of enhanced confidentiality of documentation surrounding a Violence Against Women (VAWA) transfer request. |  |  |  |  |
| CSM-057 | The solution shall track claims of Violence Against Women (VAWA) protections from a Participant, which prevents them from being penalized as a result of being a victim of VAWA-protected crimes. |  |  |  |  |
| CSM-058 | The solution shall enable the maintenance of bank account information for the college the Participant is attending if they are enrolled in the Family Self Sufficiency (FSS) program and are paying for college tuition with FSS escrow. |  |  |  |  |
|  | * 1. Case Management – Recertifications |  |  |  |  |
| CSM-059 | For each Participant, the solution shall track the need for annual recertification and alert the associated Case Worker(s) a user-specified number of days prior to the annual recertification due date. |  |  |  |  |
| CSM-060 | The solution shall calculate the 1-year deadline with the effective date of the initial Housing Assistance Payment (HAP) contract as the baseline. (Business Rule) |  |  |  |  |
| CSM-061 | The solution shall enable annual recertification for each Participant. |  |  |  |  |
| CSM-062 | The solution shall be able to track recertifications that become due within a certain date range and generate a report. |  |  |  |  |
| CSM-063 | The solution shall track the need for triennial recertifications for families on 90% or more fixed income. |  |  |  |  |
| CSM-064 | The solution shall calculate the 3-year deadline with the effective date of the initial Housing Assistance Payment (HAP) contract as the baseline. |  |  |  |  |
| CSM-065 | The solution shall enable triennial recertification for each Participant who has 90% or more fixed income. |  |  |  |  |
| CSM-066 | The solution shall track the status and result of an annual inspection as required per HUD guidelines. |  |  |  |  |
| CSM-067 | The solution shall enable biennial inspections and the tracking of their status and result, as needed. |  |  |  |  |
| CSM-068 | The solution shall allow for the adoption of biennial inspections in Project Based Voucher (PBV) buildings by allowing for the randomized selection of the equivalent of 20% of the contract units in each building. If 20% of the 20% sample fails the inspection, the solution shall allow for the re-inspection of 100% of the contract units in the building. |  |  |  |  |
| CSM-069 | The solution shall enable interim recertifications of Participants. |  |  |  |  |
| CSM-070 | The solution shall enable the receiving of a request for an interim recertification from a Participant.  *Note: Could be due to change of income or composition of household or both.* |  |  |  |  |
| CSM-071 | The solution shall enable the update of the composition of a household. |  |  |  |  |
| CSM-072 | The solution shall enable the update of the household income considering any adjustments needed for allowances. |  |  |  |  |
| CSM-073 | The solution shall assess impacts and recalculate the Housing Assistance Payment (HAP) amount. |  |  |  |  |
| CSM-074 | The solution shall assess impacts and recalculate the unit size for the Participant, for review. |  |  |  |  |
| CSM-075 | The solution shall notify the Participant about any rent share increase 30 days prior to when it becomes effective. |  |  |  |  |
| CSM-076 | The solution shall notify the Participant about any rent share decrease. |  |  |  |  |
| CSM-077 | The solution shall create a recertification packet, send a first notification to the Participant about the upcoming recertification within a specified number of days, and note all required documentation. (Business Rule) |  |  |  |  |
| CSM-078 | The solution shall enable the individual and bulk printing of the recertification packet. |  |  |  |  |
| CSM-079 | The solution shall enable the download of a recertification packet through the Participant Portal. |  |  |  |  |
| CSM-080 | The solution shall enforce that the Participant must respond within 30 calendar days from the date of the first recertification notification. (Business Rule) |  |  |  |  |
| CSM-081 | The solution shall track responses from the Participants to the first recertification notification within the deadline. |  |  |  |  |
| CSM-082 | The solution shall enable the generation of a second recertification notification to the Participant if they fail to respond to the first within the deadline. |  |  |  |  |
| CSM-083 | The solution shall enforce that the Participant must respond within 10 calendar days from the date of the second recertification notification. (Business Rule) |  |  |  |  |
| CSM-084 | The solution shall track responses from the Participants to the second recertification notification within the deadline. |  |  |  |  |
| CSM-085 | The solution shall generate a termination notice addressed to the Participant if they fail to respond to the second recertification notification within the deadline. |  |  |  |  |
| CSM-086 | The solution shall enable the termination of a Participant from the program if no request for Informal Hearing is received and document the reason.*.* |  |  |  |  |
| CSM-087 | The solution shall enable the attachment of documents that were received back from the Participant for recertification. |  |  |  |  |
| CSM-088 | The solution shall enable electronic documents from the Participant to be received for Recertification through the Participant Portal. |  |  |  |  |
| CSM-089 | The solution shall enable the tracking of verification of information provided by the Participant for Recertification. |  |  |  |  |
| CSM-090 | The solution shall enable the generation of correspondence to send to the Participant in the scenario of missed documentation. |  |  |  |  |
| CSM-0917 | The solution shall enable electronic correspondence to the Participant in the scenario of missed documentation through the Participant Portal. |  |  |  |  |
| CSM-092 | The solution shall enable the tracking of expenses for a Zero Income family for consideration within the recertification process, including a Zero Income Worksheet and supporting documents. |  |  |  |  |
| CSM-093 | The solution shall enable the tracking of expenses for a Minimum Rent Hardship Exemption family for consideration within the recertification process, including a Zero Income Worksheet and supporting documents. |  |  |  |  |
| CSM-094 | The solution shall enable the recertification of Participant in the program, and issuance of a Participation Letter. |  |  |  |  |
| CSM-095 | The solution shall enable the Participation Letter to be sent to the Participant through the Participant Portal and the Owner through the Owner Portal, or by printing for mailing. |  |  |  |  |
| CSM-096 | The solution shall enable the update of Participant information based on the documentation received for recertification. |  |  |  |  |
|  | * 1. Case Management - Participant Portal |  |  |  |  |
| PCP-001 | The solution shall include a secure portal to support self-service capabilities for Participants of the program. |  |  |  |  |
| PCP-002 | The portal shall enable a Participant to report all changes in income and family composition. It shall also enable a Participant to request interim recertification, reasonable accommodation, change of unit, Family Self Sufficiency (FSS) disbursement, special inspection, change of bank information, notification of family absence from housing unit, and submit related documentation. |  |  |  |  |
| PCP-003 | The portal shall enable the Participants to view their year-to-date payments with breakdown, and inspection schedules and results. |  |  |  |  |
| PCP-004 | The portal and all its functionality shall be accessible through a mobile device. |  |  |  |  |
|  | * 1. Case Management - Owner Portal |  |  |  |  |
| ONP-001 | The solution shall include a secure portal to support self-service capabilities for Owners who participate in the program. |  |  |  |  |
| ONP-002 | The portal shall enable the Owners to maintain limited demographic/contact information and request other changes such as for bank account information, TIN, or rent increase. Owners shall be able to utilize the Portal to handle execution of the Housing Assistance Payment (HAP) contract, inspection self-certification, extension request for reinspection, or Requests for Tenancy Approval (RFTAs). |  |  |  |  |
| ONP-003 | The portal shall enable the Owners to view their year-to-date payments with breakdown and inspection schedules and results. |  |  |  |  |
| ONP-004 | The portal and all its functionality shall be accessible through a mobile device. |  |  |  |  |
|  | * 1. FSS Program Processing |  |  |  |  |
| FSS-001 | The solution shall enforce that only existing Section 8 Participants are eligible for the Family Self Sufficiency (FSS) program. (Business Rule) |  |  |  |  |
| FSS-002 | The solution shall track applications received from a Participant to enroll in the Family Self Sufficiency (FSS) program. Information that is tracked on the application includes application date, employment information, level of education, retirement benefits, and areas of interest (education/financial literacy/job training). |  |  |  |  |
| FSS-003 | The solution shall track the approval, denial, or withdrawal of an application. |  |  |  |  |
| FSS-004 | The solution shall enable the notification of the Participant about the outcome of the application. |  |  |  |  |
| FSS-005 | The solution shall enroll Family Self Sufficiency (FSS) program Participants and distinguish them from non-FSS Participants. |  |  |  |  |
| FSS-006 | The solution shall enable the association of a Contract of Participation, including an Individual Training and Services Plan (ITSP), to an enrolled Participant. |  |  |  |  |
| FSS-007 | The solution shall enable the maintenance of all information and forms as stipulated by HUD, such as the Family Self Sufficiency (FSS) Addendum, including Services and Service Providers. |  |  |  |  |
| FSS-008 | The solution shall track the term of the contract (five years) and provide reminders as expiration date comes due. |  |  |  |  |
| FSS-009 | The solution shall enable the request for an extension of a Participant on the Family Self Sufficiency (FSS) program for up to two years. |  |  |  |  |
| FSS-010 | The solution shall enable the periodic reassessment of progress against the Individual Training and Services Plan (ITSP), at a minimum annually. |  |  |  |  |
| FSS-011 | The solution shall enforce annual reassessments of progress against the Individual Training and Services Plan (ITSP) and provide notifications as they come due. (Business Rule) |  |  |  |  |
| FSS-012 | The solution shall enable the update of the Individual Training and Services Plan (ITSP) based on the reassessment. |  |  |  |  |
| FSS-013 | The solution shall enable the evaluation of whether a Participant is qualified to graduate from the program. |  |  |  |  |
| FSS-014 | The solution shall enable on-time or early graduation from the program. |  |  |  |  |
| FSS-015 | The solution shall enforce that a Participant is graduated from the program if 30% of their adjusted gross income is equal to or greater than the Fair Market Rent, as published by HUD, and provide notification when this threshold is met. (Business Rule) |  |  |  |  |
| FSS-016 | The solution shall support the termination of a Participant from the program during or at the end of the contract term. |  |  |  |  |
| FSS-017 | The solution shall enforce that any Participant who is terminated from the Section 8 program is automatically terminated from the Family Self Sufficiency (FSS) program. (Business Rule) |  |  |  |  |
| FSS-018 | The solution shall distinguish between a termination for reason, reaching the end of the contract and not meeting the obligations, or graduating from the program at contract end. |  |  |  |  |
| FSS-019 | The solution shall enable the deactivation of a Family Self Sufficiency (FSS) program Participant. |  |  |  |  |
| FSS-020 | The solution shall enable the reactivation of a previously deactivated Family Self Sufficiency (FSS) program Participant. |  |  |  |  |
| FSS-021 | The solution shall calculate the Participant’s Family Self Sufficiency (FSS) escrow and credit their escrow account monthly. |  |  |  |  |
| FSS-022 | The solution shall use the accrued interest on the escrow account balance (as obtained from bank statement) and distribute this interest to the Participant monthly. |  |  |  |  |
| FSS-023 | The solution shall determine a Participant’s escrow balance and disburse it to them via Automated Clearing House (ACH) or check payment when they graduate. The solution shall enforce that for such a graduating Participant who has a Repayment Agreement (RA) in place, the funds are first used to pay the RA in full; the balance can be paid to the Participant. (Business Rule) |  |  |  |  |
| FSS-024 | The solution shall enable the requesting of an interim disbursement to the Participant. |  |  |  |  |
| FSS-025 | The solution shall enable the approval or denial of the requested interim disbursement and capture the reason. |  |  |  |  |
| FSS-026 | The solution shall disburse the approved interim disbursement amount to the Participant via Automated Clearing House (ACH) or check payment. |  |  |  |  |
| FSS-027 | The solution shall enforce the prevention of any disbursement if the Participant has a Repayment Agreement in place. (Business Rule) |  |  |  |  |
| FSS-028 | The solution shall enable a final disbursement to the Participant when they graduate. |  |  |  |  |
| FSS-029 | The solution shall enable the final disbursement to be made to the Housing Assistance Payment (HAP) account if the contract ends but the Participant does not graduate, or in the event of a termination. |  |  |  |  |
| FSS-030 | The solution shall accumulate and track Family Self Sufficiency (FSS) Escrow YTD amounts to support the HUD-mandated annual report due to the Participant. |  |  |  |  |
| FSS-031 | The solution shall maintain the escrow account balance for Participants porting into the Public Housing Authority (PHA) or porting out of the PHA and not being absorbed by the receiving PHA. |  |  |  |  |
| FSS-032 | The solution shall credit the escrow account for payment that is not processed (e.g., check not cashed). |  |  |  |  |
| FSS-033 | The solution shall split the Family Self Sufficiency (FSS) interim escrow disbursement between the Participant and the college they are attending if such is requested by the Participant, and process payments accordingly. |  |  |  |  |
|  | * 1. LA Fee Processing |  |  |  |  |
| LFP-001 | The solution shall maintain total monthly compensation information for each Local Administrator (LA) comprised of multiple fee components. |  |  |  |  |
| LFP-002 | The solution shall maintain different monthly fee rates for different fee categories, such as per-unit or portability. |  |  |  |  |
| LFP-003 | The solution shall maintain fee rates for homeowner closing and mobility counseling, for a one-time fee component. |  |  |  |  |
| LFP-004 | The solution shall calculate and track a fee component attributable to a Local Administrator (LA) based on their monthly utilization of vouchers, including standard per-unit fees and portability move-out fees. The solution shall enable the linking of the fee to the housing unit. |  |  |  |  |
| LFP-005 | The solution shall track a fee component attributable to a Local Administrator (LA) related to collection of repayment agreements in full. |  |  |  |  |
| LFP-006 | The solution shall enable tracking and adding a fee component for a Local Administrator (LA) based on Family Self Sufficiency (FSS) Coordinator funding. |  |  |  |  |
| LFP-007 | The solution shall enable fee adjustment for a Local Administrator (LA) based on Home Ownership administrative fees. |  |  |  |  |
| LFP-008 | The solution shall enable the tracking and adding of other miscellaneous fee components to be paid to a Local Administrator (LA), such as reimbursement for attending a conference. |  |  |  |  |
| LFP-009 | The solution shall track a fee component attributable to vacant Project-Based Voucher (PBV) units they are administering. |  |  |  |  |
| LFP-010 | The solution shall capture all fee components for approval by the program. |  |  |  |  |
| LFP-011 | The solution shall enable the approval of each fee component for a Local Administrator (LA), for calculation of the total monthly compensation. |  |  |  |  |
| LFP-012 | The solution shall track each Local Administrator (LA) fee component to the respective HUD funding increment number. |  |  |  |  |
| LFP-013 | The solution shall enable the maintenance of the Local Administrator’s (LA) bank account information. |  |  |  |  |
|  | * 1. Tenant Protection Vouchers |  |  |  |  |
| TPV-001 | The solution shall support Participants on Tenant Protection Vouchers in the event of a HUD Conversion action. |  |  |  |  |
| TPV-002 | The solution shall enable the adding of a new active Tenant Protection Voucher Participant who is not on a Waitlist but rather is a tenant at a property that is subject to a HUD Conversion action. |  |  |  |  |
| TPV-003 | The solution shall enable the generation of a Certification packet for a prospective Tenant Protection Voucher Participant. |  |  |  |  |
| TPV-004 | The solution shall track income verification and background check results as part of the new admission for a Tenant Protection Voucher Participant. |  |  |  |  |
| TPV-005 | The solution shall enable the confirmation of a Tenant Protection Voucher Participant who has cleared an income verification and background check. |  |  |  |  |
| TPV-006 | The solution shall enable the upload of documents included in a certification packet for an approved Tenant Protection Voucher Participant. |  |  |  |  |
| TPV-007 | The solution shall enable the tracking of the Participant’s income information at the time of the Conversion action. |  |  |  |  |
| TPV-008 | The solution shall calculate the Tenant Protection Voucher Housing Assistance Payment (HAP) amount per HUD regulations. |  |  |  |  |
| TPV-009 | The solution shall enable converting a Tenant Protection Voucher into a regular voucher per HUD regulations. |  |  |  |  |
| TPV-010 | The solution shall track Participants who convert to a Tenant Protection Voucher and their Housing Assistance Payment (HAP) amount calculates to zero and notify them about the possible assistance in the future, within a period of five years. |  |  |  |  |
|  | * 1. Financial Transaction Management |  |  |  |  |
|  | * + 1. General |  |  |  |  |
| FTM-001 | The solution shall support payments by both check and Automated Clearing House (ACH). |  |  |  |  |
| FTM-002 | The solution shall exchange financial transaction information with the State banking services vendor’s software utilizing the most efficient data transfer mechanism available at the time. |  |  |  |  |
| FTM-003 | The solution shall maintain all currency information, down to the cents. |  |  |  |  |
| FTM-004 | The solution shall track detailed information around all payments as required by the HUD Voucher Management System. |  |  |  |  |
|  | * + 1. Payments to Landlords (Owners) |  |  |  |  |
| FTM-005 | The solution shall process Housing Assistance Payment (HAP) amount check payments and send to the New York State Department of Taxation and Finance (DTF), at a minimum on a monthly basis. |  |  |  |  |
| FTM-006 | The solution shall process Housing Assistance Payment (HAP) amount Automated Clearing House (ACH) payments and exchange the corresponding transaction information with the State banking services vendor’s software, at a minimum on a monthly basis. |  |  |  |  |
| FTM-007 | The solution shall process individual stop payments on check transactions, as needed, and exchange the corresponding transaction information with the State banking services vendor’s software. |  |  |  |  |
| FTM-008 | The solution shall process Automated Clearing House (ACH) returns and Notification of Change (NOC) information received from the State banking services vendor’s software. |  |  |  |  |
| FTM-009 | The solution shall process Automated Clearing House (ACH) reversals as needed so that a previously issued ACH payment can be canceled and exchange the corresponding transaction information with the State banking services vendor’s software. |  |  |  |  |
| FTM-010 | The solution shall process Housing Assistance Payment (HAP) Withholdings, at a minimum on a monthly basis, as a result of the BNotice action as per IRS guidelines, and exchange the corresponding transaction information with the State banking services vendor’s software. |  |  |  |  |
| FTM-011 | The solution shall process additional payments, credit or debit, to the Landlords, as needed, and exchange the corresponding transaction information with the State banking services vendor’s software, to handle scenarios such as proration for partial month occupancy by a tenant or to handle a rent increase that was approved late. |  |  |  |  |
| FTM-012 | The solution shall process Housing Assistance Payment (HAP) amount payments, full or partial, as a check, to the IRS if the Landlord has a lien based on a Lien Notice received from the IRS. |  |  |  |  |
| FTM-013 | The solution shall track payments that are not actually received by the Landlord, or are returned by the Landlord, and deducted for 1099 purposes. |  |  |  |  |
| FTM-014 | The solution shall have the ability to consolidate multiple payments to the same Landlord into a single payment, if requested by the Landlord. |  |  |  |  |
| FTM-015 | The solution shall allow for the classification of landlords as non-resident aliens and facilitate the placement of any mandatory withholding percentage upon scheduled Housing Assistance Payment (HAP) payments that is needed to adhere to IRS regulations and/or provisions of any established tax treaties between the United States and the Landlord’s home country. |  |  |  |  |
|  | * + 1. Payments to Tenants (Participants) |  |  |  |  |
| FTM-016 | The solution shall make payments for the Participant’s utility reimbursements, on a periodic basis to be determined, out of the State banking services vendor’s Housing Assistance Payment (HAP) account to the Participant’s bank account. |  |  |  |  |
| FTM-017 | The solution shall make Housing Assistance Payments (HAP), monthly, to homeowners from State banking services vendor’s HAP account to either the Participant’s bank account or the mortgage company, as specified by the Participant. |  |  |  |  |
| FTM-018 | The solution shall split the homeowner reimbursement between the Participant and their mortgage company if such is requested by the Participant, and process payments accordingly. |  |  |  |  |
| FTM-019 | The solution shall identify overpayment on Repayment Agreements to determine if a refund is called for. The solution shall process one-time payments to the Participant for adjustments needed for payments made in error. |  |  |  |  |
|  | * + 1. Payments to LAs |  |  |  |  |
| FTM-020 | The solution shall make monthly payments to the Local Administrators (LAs) to reimburse them for services rendered in administration of the program. This is a payment from the State banking services vendor’s Housing Assistance Payment (HAP) account to LA’s bank account. |  |  |  |  |
|  | * + 1. Payments to Other PHAs |  |  |  |  |
| FTM-021 | The solution shall process payments to another Public Housing Authority (PHA) itemized by Participant in portability scenarios. Payments could include Family Self Sufficiency (FSS) escrow account debits. |  |  |  |  |
|  | * + 1. Accounts Receivables for PHA |  |  |  |  |
| FTM-022 | The solution shall process incoming payments as checks, cashier’s checks, or money orders. |  |  |  |  |
| FTM-023 | The solution shall process the repayment of monies owed by the Participant to HTFC via the Lock Box and track the Local Administrator (LA) who handled this repayment for compensation purposes. |  |  |  |  |
| FTM-024 | The solution shall enable the receiving of transactions data for payments received at the Lock Box from Participants originating from the State banking services vendor.  *Note: This is a data transfer from the State banking services vendor’s software.* |  |  |  |  |
| FTM-025 | The solution shall process a single repayment transaction from the Participant for the total amount owed. |  |  |  |  |
| FTM-026 | The solution shall create and track a repayment agreement that is agreed to by the Participant and approved by the Local Administrator (LA) and includes a monthly repayment schedule. |  |  |  |  |
| FTM-027 | The solution shall track that the repayment agreement is approved by statewide program staff. (Workflow) |  |  |  |  |
| FTM-028 | The solution shall enable the generation of payment slips corresponding to the payment schedule for mailing to the Participant. |  |  |  |  |
| FTM-029 | The solution shall enable the generation of payment slips corresponding to the payment schedule for the Participant to download from the Participant Portal. |  |  |  |  |
| FTM-030 | The solution shall enforce that another repayment agreement is not created if the Participant already has a repayment agreement in place. (Business Rule) |  |  |  |  |
| FTM-031 | The solution shall enforce that the duration of the repayment agreement is between one month and N months, where N is a configurable value. (Business Rule) |  |  |  |  |
| FTM-032 | The solution shall calculate the monthly repayment amount per the Section 8 Administrative Plan (Exhibit F) and enable adjustments to it before it is implemented. (Business Rule) |  |  |  |  |
| FTM-033 | The solution shall track that the Participant stays current on meeting their repayment obligation according to the repayment agreement. |  |  |  |  |
| FTM-034 | The solution shall designate a monthly payment as “in arrear” if it is not received within five business days from the due date (first business day of month). |  |  |  |  |
| FTM-035 | The solution shall enforce that a voucher is not issued to the Participant to move to a new housing unit if they are not current on meeting their repayment obligation according to the repayment agreement. (Business Rule) |  |  |  |  |
| FTM-036 | The solution shall enforce that a Participant already on a repayment agreement pays off any additional debt owed to the Public Housing Authority (PHA) within 30 days of incurring it. This would be a single lump-sum payment. (Business Rule) |  |  |  |  |
| FTM-037 | The solution shall designate the Participant “in default” if they miss more than two consecutive payments or are behind on more than two payments aggregately. |  |  |  |  |
| FTM-038 | The solution shall enforce that a Participant cannot port out to another Public Housing Authority’s (PHA) jurisdiction or transfer out to another Local Administrator (LA) if they have an outstanding balance on an existing repayment agreement. (Business Rule) |  |  |  |  |
| FTM-039 | The solution shall enable the termination of a Participant from the Section 8 program if they are in default on their repayment agreement, and do not repay the full balance owed at that point. |  |  |  |  |
| FTM-040 | The solution shall enable notifying the Participant of default status and count down a 30-business-day payment deadline, following which the termination process will ensue. |  |  |  |  |
| FTM-041 | The solution shall track any income or income cycle change, alert that this scenario has occurred, and enable the update of a repayment agreement if such a qualifying condition is met. |  |  |  |  |
| FTM-042 | The solution shall track repayment agreements that are paid in full. |  |  |  |  |
| FTM-043 | The solution shall enable the generation of Housing Assistance Payment (HAP) overpayment notification along with the payment slip to the Landlord. |  |  |  |  |
| FTM-044 | The solution shall enable the generation of Housing Assistance Payment (HAP) overpayment electronic notification and electronic payment slip for the Landlord to download on the Owner’s Portal. |  |  |  |  |
| FTM-045 | The solution shall track Housing Assistance Payment (HAP) overpayments that the Landlords have been notified about, but the money has not been returned to HTFC. |  |  |  |  |
| FTM-046 | The solution shall process receivables received from Landlords, along with the corresponding payment slip. |  |  |  |  |
| FTM-047 | The solution shall process check payments made by Landlords through the Lock Box and shall track them for 1099 purposes, tying it to the correct tax year. |  |  |  |  |
| FTM-048 | The solution shall process payments from another Public Housing Authority (PHA) through the Lock Box itemized by Participant in portability scenarios. Payments could include Family Self Sufficiency (FSS) escrow account credits. |  |  |  |  |
| FTM-049 | The solution shall process payments from another entity acting on behalf of a Participant through the Lock Box, such as the NYS Office of the Attorney General or a local government body. |  |  |  |  |
| FTM-050 | The solution shall enable associating a receivable amount to a Participant on a repayment agreement and a Landlord. |  |  |  |  |
|  | * 1. Information Exchange with HUD |  |  |  |  |
|  | * + 1. PIC 50058 Reporting |  |  |  |  |
| IEH-001 | The solution shall be fully compatible with HUD’s PIH Information Center (PIC) program in terms of the format of the Form 50058 information that will be submitted. |  |  |  |  |
| IEH-002 | The solution shall transmit Form 50058 information about Participants and program performance, as required by HUD, utilizing the most efficient data transfer mechanism available at the time. |  |  |  |  |
| IEH-003 | The solution shall enable the user to review errors in the scenario of a failed Form 50058 submission, correct, and resend. |  |  |  |  |
| IEH-004 | The solution shall enable any updates/corrections/reversals that need to be made to the PIH Information Center (PIC) for previously submitted data. |  |  |  |  |
|  | * + 1. Housing Authority Fee Download |  |  |  |  |
| IEH-005 | The solution shall enable receiving information annually on Housing Authority (HA) fees for all HAs across the nation that is used to calculate Portability fee components for Local Administrators (LAs). |  |  |  |  |
|  | * 1. Information Exchange with IRS |  |  |  |  |
| IER-001 | The solution shall import BNotice information received from the IRS annually, compare against Section 8 information, and create first BNotice letters to notify the Owners. The first BNotice letters shall be electronic and available either for printing and mailing or for sharing via the Owner Portal.  *Note: IRS sends electronically if >250 Owners, otherwise paper.* |  |  |  |  |
| IER-002 | The solution shall track the deadline of 15 business days from HTFC’s receipt of the IRS BNotice information for when the BNotice letters must be sent to the Owners, provide reminder. (Business Rule) |  |  |  |  |
| IER-003 | The solution shall track the deadline of 30 business days from HTFC’s receipt of the IRS BNotice information for Owners to respond to first BNotices. (Business Rule) |  |  |  |  |
| IER-004 | The solution shall put Owner on withhold status and withhold Housing Assistance Payments (HAPs) from Owners who have not responded to their BNotices within the deadline. |  |  |  |  |
| IER-005 | The solution shall take an Owner off withhold status once the Owner satisfactorily responds to their BNotice and track this date. |  |  |  |  |
| IER-006 | The solution shall track if an Owner receives two BNotices over a period of three years and send a second BNotice in that scenario. The second BNotice shall be electronic and available either for printing and mailing or for sharing via the Owner Portal. |  |  |  |  |
| IER-007 | The solution shall remove withhold status from a prior year when the Owner has not received a BNotice in the following three calendar years. |  |  |  |  |
| IER-008 | The solution shall track Owners who are exempt from BNotices withholding, so that BNotices are not sent to them. |  |  |  |  |
| IER-009 | The solution shall enable the maintenance of Lien Notice information about an Owner, as received from the IRS. |  |  |  |  |
| IER-010 | The solution shall generate and transmit to the IRS, as needed, a list of Landlord information, including but not limited to Name and Tax Identification Number. |  |  |  |  |
| IER-011 | The solution shall import Landlord verification information received from the IRS, as needed. |  |  |  |  |
| IER-012 | The solution shall generate 1099 information about Section 8 payments and withholdings for each Owner and transmit to the IRS annually via the State banking services vendor. |  |  |  |  |
| IER-013 | The solution shall enable the regeneration of 1099 information about Section 8 payments for a specific Owner, as a replacement 1099, if the first 1099 was deemed undeliverable by the State banking services vendor. |  |  |  |  |
|  | * 1. Home Ownership Program Processing |  |  |  |  |
| HOP-001 | The solution shall enforce that only existing Section 8 Participants who have been on the program for at least 12 consecutive months within the Local Administrator’s (LA’s) jurisdiction, have fully satisfied any Repayment Agreements, and are in good standing with the local program are eligible for the Home Ownership program. The solution shall not enforce these criteria for Participants who are porting in from another Public Housing Authority (PHA). (Business Rule) |  |  |  |  |
| HOP-002 | The solution shall enforce that the Participant has met the minimum annual family income requirement, per HUD guidelines, for a full year before becoming eligible for the Home Ownership program. (Business Rule) |  |  |  |  |
| HOP-003 | The solution shall enforce additional eligibility criteria established by the local Home Ownership Program Manager and approved by Statewide staff. The criteria incorporate minimum income requirements that are higher than the HUD standard, based on local factors. (Business Rule) |  |  |  |  |
| HOP-004 | The solution shall enable the tracking of the completion of home Ownership education and housing counseling by the Participant, and the upload of a Certificate of Completion. |  |  |  |  |
| HOP-005 | The solution shall enforce that the Certificate of Completion is no more than two years old at the time of the home purchase. (Business Rule) |  |  |  |  |
| HOP-006 | The solution shall track that an High-Quality Standards (HQS) inspection of the home is completed. |  |  |  |  |
| HOP-007 | The solution shall track that an independent professional home inspection by a certified inspector is conducted following the High-Quality Standards (HQS) inspection and that both are completed prior to release of the Housing Assistance Payment (HAP). |  |  |  |  |
| HOP-008 | The solution shall enable an eligible Family Self Sufficient (FSS) Participant to use up to 90% of their current FSS escrow balance for the payment of the inspector’s fee and other fees, including down payment, related to homeownership closing. |  |  |  |  |
| HOP-009 | The solution shall automatically calculate homeownership Housing Assistance Payment (HAP) amount for the Participant, per HUD guidelines and Administrative Plan guidelines. (Business Rule) |  |  |  |  |
| HOP-010 | The solution shall enable the maintenance of bank information for the lender corresponding to the Participant’s mortgage. |  |  |  |  |
| HOP-011 | The solution shall automatically calculate a minimum down payment that equals 3% of the sale price, with the family contribution toward the down payment as at least 1% of the sale price and coming from the family’s personal resources, and allow such a homeownership transaction to proceed, unless modified or waived in the scenario of the home being financed by USDA-RD or similar government mortgage products. (Business Rule) |  |  |  |  |
| HOP-012 | The solution shall enable a homeowner who default on the mortgage loan to revert to rental assistance when justified and approved by HTFC. |  |  |  |  |
| HOP-013 | The solution shall track the term of the mortgage. |  |  |  |  |
| HOP-014 | The solution shall enforce that the duration of mortgage assistance does not exceed 15 years for a non-elderly, non-disabled family with a mortgage term of at least 20 years. (Business Rule) |  |  |  |  |
| HOP-015 | The solution shall enforce that the duration of mortgage assistance does not exceed 10 years for a non-elderly, non-disabled family with a mortgage term of less than 20 years. (Business Rule) |  |  |  |  |
| HOP-016 | The solution shall enforce that the home purchased under the Homeownership Program is not itemized as an asset to calculate the imputed asset income for the first 10 years of program participation. (Business Rule) |  |  |  |  |
| HOP-017 | The solution shall track and enforce annual recertification for Homeownership Program Participants. Recertification for home Ownership involves the same steps as for tenancy. (Business Rule) |  |  |  |  |
| HOP-018 | The solution shall enable a Participant who was in the Home Ownership program, returned to rental assistance, and applies to pursue home Ownership again, to be checked for eligibility criteria and approved to join the program. |  |  |  |  |
|  | * 1. Portability |  |  |  |  |
| POR-001 | The solution shall support portability moves from other Public Housing Authorities (PHAs) into this PHA, and from this initial PHA to other PHAs, per HUD guidelines. |  |  |  |  |
| POR-002 | The solution shall perform a check if a Participant is attempting to port out of their current Local Administrator’s (LA) jurisdiction to another Public Housing Authority’s (PHA) jurisdiction during the initial 12 months of assisted occupancy, if the Participant has violated a Family Self Sufficient (FSS) obligation, or if the Participant is in a Repayment Agreement, and provide a warning. (Business Rule) |  |  |  |  |
| POR-003 | The solution shall enable the determination of eligibility of a Participant who is porting in to participate in this Public Housing Authority’s (PHA) Section 8 program based on them clearing a criminal background check, based on rent affordability, and Enterprise Income Verification (EIV) check. |  |  |  |  |
| POR-004 | The solution shall track whether a Participant who is porting in is absorbed. |  |  |  |  |
| POR-005 | The solution shall enable the generation of a portability payment per HUD guidelines via the State banking services vendor for Participants who port out. |  |  |  |  |
| POR-006 | For Participants who port in from another Public Housing Authorities (PHA) and are not absorbed, the solution shall generate monthly invoices to the initial PHA and track it to the respective Local Administrator (LA). |  |  |  |  |
| POR-007 | The solution shall enable the termination of a Participant who is in the Family Self Sufficiency (FSS) program and ports out to a Public Housing Authority (PHA) that does not support FSS and the Participant cannot continue to meet the FSS obligations. |  |  |  |  |
| POR-008 | The solution shall enable the absorption of a Participant porting in from another Public Housing Authority (PHA) and their Family Self Sufficiency (FSS) program, into this Section 8 and FSS program. |  |  |  |  |
|  | * 1. Quality Control |  |  |  |  |
| QCN-001 | The solution shall provide comprehensive quality control capability throughout the voucher lifecycle. It shall allow designated Local Administrator (LA) and State staff to view and audit all required family documentation electronically, as mandated by HUD. The solution shall help reduce errors in income certifications and subsidy calculations, maximize the effectiveness and efficiency of quality control staff, and identify common errors to focus the Agency’s training efforts. This can be implemented with the use of, including but not limited to, workflow, business rules, notifications, and document management capabilities. |  |  |  |  |
|  | * 1. Inspections |  |  |  |  |
| INS-001 | The solution shall provide comprehensive inspection management capability to ensure that each housing unit in the program meets all federal- and state-mandated health and safety housing standards. The solution shall support users in the office, as well as those out in the field using handheld devices. It shall enable scheduling of inspections, tracking of inspector progress throughout the day, and management of requested inspections and abatements. The solution shall include the capability to randomly select housing units for a supervisory QC inspection, based on specified criteria, and track the results of that inspection. |  |  |  |  |
| INS-002 | The solution shall include a mobile app that provides the capability to manage inspections of housing units in the field, incorporates HUD-mandated housing quality standards (including tracking of lead-based paint visual inspection fails), and feeds information back to the solution. It shall allow for, including but not limited to, management of inspections and follow-ups, storage of photos of fail items, the downloading of the day’s inspection schedule, automated phone calls, electronic signatures, and geocode based route optimization. |  |  |  |  |
| INS-003 | The solution shall flag and track units that fail inspection, specifically for issues related to lead paint, mold, or other hazardous materials, and instances where a child has been identified with elevated blood levels; flag and track properties with one or more units identified with such issues; and be able to generate a list of all buildings with currently unresolved or un-remediated issues. |  |  |  |  |
|  | * 1. Sub-set and Related Federal Programs |  |  |  |  |
| SFP-001 | The solution shall enable the tracking and maintenance of Applicants who are non-elderly persons with disabilities and eligible, as defined by HUD ([https://www.hud.gov/ program\_offices/public\_indian\_housing/programs/hcv/mainstream](https://www.hud.gov/program_offices/public_indian_housing/programs/hcv/mainstream)), who apply for the five-year Mainstream Voucher Program, a sub-set of the Housing Choice Voucher (HCV) program, and add them to the applicable Section 8 Waitlists. |  |  |  |  |
| SFP-002 | The solution shall track detailed information around utilization of Mainstream vouchers and associated Housing Assistance Program (HAP) expenditures, as required by the HUD Voucher Management System. |  |  |  |  |
| SFP-003 | The solution shall enable the tracking and maintenance of Applicants belonging to eligible populations, as defined by HUD ([https://www.hud.gov/program\_offices/public\_ indian\_housing/programs/hcv/family](https://www.hud.gov/program_offices/public_indian_housing/programs/hcv/family)), who are referred by a Public Child Welfare Agency as part of the Family Unification Program, and add them to the applicable Section 8 Waitlist. |  |  |  |  |
| SFP-004 | The solution shall enforce the maximum duration of housing assistance for youth on the Family Unification Program (FUP) at 36 months. (Business Rule) |  |  |  |  |
| SFP-005 | The solution shall track families on the Family Unification Program (FUP) that transition to the Family Self Sufficiency (FSS) program. |  |  |  |  |
| SFP-006 | The solution shall enable the tracking and maintenance of homeless veteran Applicants that are part of the Veteran Affairs Supportive Housing (VASH) Program (<https://www.hud.gov/program_offices/public_indian_housing/programs/hcv/vash> ) and are referred by Veterans Affairs Medical Centers, and add them to the applicable Section 8 Waitlist. The solution shall enable the waiving or relaxing of Section 8 requirements for HUD-VASH Applicants per HUD guidelines. |  |  |  |  |
|  | * 1. Program Administration |  |  |  |  |
| PGA-001 | The solution shall enable the entry and maintenance of Fair Market Rent information, published by HUD, for specific unit sizes and by county. The solution shall support HUD-published guidance for unit sizes, based on number of bedrooms. |  |  |  |  |
| PGA-002 | The solution shall enable the maintenance of payment standards for specific unit sizes, by county. The solution shall support HUD-published guidance for unit sizes, based on number of bedrooms.  *Note: This is set at 90-110% of Fair Market Rents (FMR.)* |  |  |  |  |
| PGA-003 | The solution shall enable the maintenance of IRS-mandated withholding percentage, as needed. |  |  |  |  |
| PGA-004 | The solution shall enable the review and approval, or denial, of a proposed Repayment Agreement, and track justification in the scenario of a denial. |  |  |  |  |
| PGA-005 | The solution shall support workflow capability for transactions to be saved in draft and approved before they are executed or disapproved.  *Note: Local Administrators (LAs) will require approval from Statewide Staff to execute certain transactions, such as changing Waitlist eligibility status for an Applicant.* |  |  |  |  |
| PGA-006 | The solution shall enable the maintenance of HUD funding increment numbers and tracking each voucher to an increment number. |  |  |  |  |
| PGA-007 | The solution shall enable the maintenance, under a HUD funding increment number, of a certain number of vouchers are allocated to a Local Administrator (LA). |  |  |  |  |
| PGA-008 | The solution shall enable the splitting of a single HUD funding increment number across multiple Local Administrators (LAs). |  |  |  |  |
| PGA-009 | The solution shall enable the maintenance of income limits by family size and by income level, per HUD guidelines. |  |  |  |  |
| PGA-010 | The solution shall enable the maintenance of passbook rate per Program discretion, within HUD guidelines. |  |  |  |  |
| PGA-011 | The solution shall enable the maintenance of Minimum Rent per Program discretion. |  |  |  |  |
| PGA-012 | The solution shall enable the maintenance of Voucher Term Minimum per Program discretion. |  |  |  |  |
| PGA-013 | The solution shall enable the maintenance of BRate and fee proration factor per HUD guidelines. |  |  |  |  |
| PGA-014 | The solution shall enable the maintenance of a set of Utility Allowance Rates by utility category, unit size, and county, per Program discretion. |  |  |  |  |
| PGA-015 | The solution shall enable the maintenance of the HUD-mandated percentage of monthly adjusted income that the Applicant’s total monthly rent cannot exceed when determining the housing unit for that Applicant |  |  |  |  |
| PGA-016 | The solution shall support the tracking of and reporting on all Section 8 Management Assessment Program (SEMAP) indicators. |  |  |  |  |
| PGA-017 | The solution shall include workflow capability for review/approval of user-initiated transactions needed to support a staff-supervisor structure. This capability would be utilized to support the various job functions that will be end users of this solution. |  |  |  |  |
| PGA-018 | Data related to the historical, and now repealed, Moderate Rehabilitation program shall be migrated to be preserved in the solution. This data shall be available as read-only for query and reporting purposes. |  |  |  |  |
| PGA-019 | The solution shall enable the maintenance of BNotice-driven withholding percentage for Landlords (Owners). |  |  |  |  |
| PGA-020 | The solution shall track the success rate of vouchers issued, as defined by utilization of the voucher by a Participant, by county. |  |  |  |  |
| PGA-021 | The solution shall enable the maintenance of a designation of a location (county and zip code) as being subject to Fair Market Rents, Small Area Fair Market Rents, and similar Exception Payment Standards. |  |  |  |  |
|  | * 1. Reporting and Data Analytics |  |  |  |  |
| RDA-001 | The solution shall have configurable dashboard capability on the home page for each role, to display metrics and notifications that are relevant to the role, using numeric or graphical components. The dashboard components shall include active links that will support drill-down capability to navigate to more detailed queries or reports. |  |  |  |  |
| RDA-002 | The solution shall have parametrized canned reports to meet decision support needs for program operations, including but not limited to Exhibit C. |  |  |  |  |
| RDA-003 | The solution shall have a robust ad-hoc reporting capability that will allow the end user to design the content, layout, and calculated values included on the report. |  |  |  |  |
| RDA-004 | The solution shall enable the sorting of data that is displayed as a result of an online query. |  |  |  |  |
| RDA-005 | The solution shall enable Copy, Customize, and Save-As functions on an existing canned report. The solution shall enable the user to optionally share this saved report with other users. |  |  |  |  |
| RDA-006 | The solution shall enforce access to data included in online queries and reports, based on the organizational structure of which the end user is a part. (Business Rule) |  |  |  |  |
| RDA-007 | The solution shall have the ability to export all data shown in online queries and reports into multiple formats, such as PDF and MS Excel. |  |  |  |  |
| RDA-008 | The solution shall have the ability to overlay program data on spatial data utilizing geocode at a granular level to be determined, such as county, congressional district, opportunity zone, or property address, to drive online queries and reports. |  |  |  |  |
| RDA-009 | The solution shall enable the generation of scheduled batch reports on different periodicity, such as monthly or quarterly. |  |  |  |  |
| RDA-010 | The solution shall enable trend analytics queries to detect program performance trends, such as landlords with chronic problem patterns, tracking of timeliness goals, etc. |  |  |  |  |
| RDA-011 | The solution shall enable online queries and reports for workload analysis for Case Managers. |  |  |  |  |
|  | * 1. Document Imaging and Content Management |  |  |  |  |
| DCM-001 | The solution shall enable the scanning and upload of paper documents. |  |  |  |  |
| DCM-002 | The solution shall track every document generated or uploaded, through a barcode identifier and supporting metadata, that associate them with transactional data. |  |  |  |  |
| DCM-003 | The solution shall enable the generation of all letters and documents needed for the Section 8 program. See Exhibit D, but not limited to that list. |  |  |  |  |
| DCM-004 | The solution shall enable the generation of ad-hoc documents in real time, using transactional data from the solution, and pre-designed document templates stored in the content management repository. |  |  |  |  |
| DCM-005 | The solution shall enable the maintenance and tracking of multiple draft versions of the same document. |  |  |  |  |

1. Solution Non-Functional Requirements

This section defines the detailed RFP requirements. **Error! Reference source not found.** contains the Solution Non-functional Requirements and contains the following columns:

* Column 1, REQ ID. Indicates the unique requirement identifier. The REQ ID should not be modified in a proposal.
* Column 2, Requirement. The Requirement should not be modified in a proposal.
* Column 3, Response (Yes/No). This column contains the Proposer’s response to whether they can provide the service as required.

Offerers are expected to provide an updated version of this Attachment, with the last column filled out for each of the requirements in **Error! Reference source not found.**, as part of their proposal.

Attachment 2, Table 2, Solution Non-functional Requirements

| REQ ID | Requirement | Response (Yes/No) |
| --- | --- | --- |
|  | 1. Non-functional Requirements |  |
| SNF-001 | The Proposer shall explain their approach, methodology, processes, and tools, in detail, of how the following non-functional requirements will be met. |  |
| SNF-002 | The solution shall remain in full compliance with all HUD regulations for the Section 8 Housing Choice Voucher program and supporting programs throughout its complete lifecycle. |  |
|  | * 1. Information Security and Privacy |  |
| SNF-003 | The solution shall remain in full compliance with New York State Office of Information Technology Services (ITS) information security policies and standards throughout its complete lifecycle, including but not limited to the following:  <https://its.ny.gov/document/information-security-policy>  <https://its.ny.gov/document/information-security-controls-standard>  <https://its.ny.gov/document/information-classification-standard>  <https://its.ny.gov/document/information-security-risk-management-standard>  <https://its.ny.gov/document/encryption-standard>  <https://its.ny.gov/document/identity-assurance-policy>  <https://its.ny.gov/document/identity-assurance-standard>  <https://its.ny.gov/document/account-management-access-control-standard>  <https://its.ny.gov/document/vulnerability-scanning-standard>  <https://its.ny.gov/document/cyber-incident-response-standard>  <https://its.ny.gov/document/remote-access-standard>  <https://its.ny.gov/document/security-logging-standard>  <https://its.ny.gov/document/mobile-device-security>  <https://its.ny.gov/document/80211-wireless-network-security>  <https://its.ny.gov/document/authentication-tokens>  <https://its.ny.gov/document/sanitizationsecure-disposal-standard>  <https://its.ny.gov/document/information-security-exception-policy>  <https://its.ny.gov/document/internet-privacy-guideline>  <https://its.ny.gov/document/guidance-use-ssns-state-government-entities> |  |
| SNF-004 | The solution shall provide a customizable User Access Management capability that enables authorized users to assign user access at application, use case, and field level, as needed, by employee role. |  |
| SNF-005 | The solution shall provide a customizable User Access Management capability that enables authorized users to assign user access at application, use case, and field level, as needed, by organizational structure such as statewide, county, and Local Administrator’s (LA) jurisdiction. |  |
| SNF-006 | The solution shall leverage Active Directory Federated Services for authentication of NYS internal users. |  |
| SNF-007 | The solution shall authenticate external users (Local Administrators, citizens, etc.) through their ny.gov account; this will leverage Security Assertion Markup Language (SAML) v2.0 integration between the solution and ny.gov. |  |
|  | * 1. Interoperability |  |
| SNF-008 | The solution shall be interoperable with other technology solutions utilizing modern, industry-standard technologies such as web services and/or Secure File Transfer Protocol (SFTP) interface standards. |  |
| SNF-009 | The solution shall provide users the ability to send secure messages, including documents, to other authorized users of the solution who may be part of different organizations. |  |
| SNF-010 | The solution shall be interoperable with other technology solutions within the NYS data center, leveraging the NYS Application Program Interface (API) management standard (RogueWave Akana Platform), for both provider and consumer roles. |  |
| SNF-011 | The solution shall provide the capability to import data extracted from other systems. |  |
| SNF-012 | The solution shall be compatible with scanners to support the document imaging functional requirement DCM-001. |  |
| SNF-013 | The Proposer shall provide a complete and detailed list of peripheral devices, such as scanners, that are compatible with their solution. |  |
|  | * 1. Performance |  |
| SNF-014 | The solution shall have seamless navigation and meet the two seconds metric for page loads 99% of the time. |  |
| SNF-015 | The solution shall support 1,000 concurrent users, at a minimum. |  |
|  | * 1. Capacity/Scalability |  |
| SNF-016 | The solution shall be scalable to support expected future growth of the Section 8 program. |  |
|  | * 1. Availability |  |
| SNF-017 | The solution, including all Portal components, shall be available at all times outside of planned and approved maintenance windows. |  |
| SNF-018 | The solution shall achieve a system uptime of 99.7% of 24 x 7 x 365, other than downtime for scheduled maintenance. |  |
| SNF-019 | The solution downtime shall not exceed four hours within a 24-hour period, without HTFC approval. |  |
|  | * 1. Usability |  |
| SNF-020 | The solution shall incorporate industry best practices for usability. |  |
| SNF-021 | The solution shall support electronic signature capability that is compliant with the following New York State Office of Information Technology Services (ITS) policy:  <https://its.ny.gov/document/nys-g04-001-electronic-signatures-and-records-act-ersa-guidelines> |  |
|  | * 1. Accessibility |  |
| SNF-022 | The solution shall remain fully compliant with the following New York State Office of Information Technology Services (ITS) policy for web navigation throughout its complete lifecycle: <https://its.ny.gov/document/new-york-state-universal-web-navigation>. |  |
| SNF-023 | The solution shall remain fully compliant with any New York State Office of Information Technology Services (ITS) policy for accessibility throughout its complete lifecycle: [https://its.ny.gov/document/accessibility-web-based-information-and-applications-compliance-reporting](https://its.ny.gov/document/accessibility-web-based-i%20nformation-and-applications-compliance-reporting). |  |
|  | * 1. Auditing |  |
| SNF-024 | The solution shall perform audit logging to build a historical record of all user actions, including user authentication attempts, and critical system processes. |  |
| SNF-025 | The solution shall store audit logs on a server separate from the system that generates the log. |  |
|  | * 1. Branding |  |
| SNF-026 | The solution shall be fully compliant with New York State branding guidelines. |  |
| SNF-027 | The solution shall remain fully compliant with the following New York State Office of Information Technology Services (ITS) policy for domain names throughout its complete lifecycle: <https://its.ny.gov/document/domain-names-state-government-entities>. |  |
|  | * 1. Data Entry and Editing |  |
| SNF-028 | The solution shall incorporate data entry and editing capabilities such as autofill, spell-check, and formatting/validation. |  |
| SNF-029 | The solution shall implement all deletes of transactional data as “soft deletes” so that no data is ever physically deleted. |  |
|  | * 1. Multilingual Support |  |
| SNF-030 | The solution’s Portal components shall remain in full compliance with the NYS Governor’s Executive Order No. 26 and HTFC’s Language Access Plan for Limited English Proficiency Individuals, including but not limited to supporting the following languages: Spanish, traditional Chinese, Russian, Haitian-Creole, Korean and Italian. |  |
|  | * 1. Use via Mobile Devices |  |
| SNF-031 | The solution shall incorporate responsive design to enable its use via mobile devices. |  |
| SNF-032 | The mobile Inspector’s App shall be fully functional on mobile devices with industry leading operating systems, such as iOS and Android. |  |
|  | * 1. Workflow/Alert/Notification |  |
| SNF-033 | The solution shall provide workflow and notification capability that can be configured per functional requirements. |  |
| SNF-034 | The solution shall assist users with completing pre-defined work steps employing a wizard-based user interface. |  |
| SNF-035 | The solution shall enable users to assign a priority to messages/alerts (High Importance, Low Importance, etc.). |  |
| SNF-036 | The solution shall enable users to schedule appointments. |  |
|  | * 1. Data Retention |  |
| SNF-037 | The solution shall be fully compliant with federal and NYS data retention guidelines. |  |
|  | * 1. Data Analytics (Technology) |  |
| SNF-038 | The solution shall have Geographic Information System (GIS) capabilities that remain fully compliant with the following New York State Office of Information Technology Services (ITS) policies, as applicable:  <https://its.ny.gov/document/geographic-information-systems>  <https://its.ny.gov/document/gis-data-sharing> |  |
|  | * 1. Data Archiving |  |
| SNF-039 | The solution shall have the capability to archive bulk data on demand. |  |

1. Service Requirements

This section defines the detailed RFP requirements. **Error! Reference source not found.**, contains the Service Requirements and contains the following columns:

* Column 1, REQ ID. Indicates the unique requirement identifier. The REQ ID should not be modified in a proposal.
* Column 2, Requirement. The Requirement should not be modified in a proposal.
* Column 3, Response (Yes/No). This column contains the Proposer’s response to whether they can provide the service as required.

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Attachment 2, Table 3, Service Requirements

| REQ ID | Requirement | Response (Yes/No) |
| --- | --- | --- |
|  | 1. Service Requirements |  |
|  | * 1. Engagement/Project Management |  |
| SVR-001 | The Proposer shall describe their engagement/project management strategy, best practices and lessons learned, methodology and tools, in detail. |  |
| SVR-002 | The contractor shall be responsible for the management of their engagement to ensure successful implementation of their scope of services. |  |
| SVR-003 | The contractor shall develop a Project Management Plan (D1), including but not limited to the following:   * Scope/Requirements Management Plan * Baselined Schedule and Schedule Management Plan * Budget Management Plan * Quality Management Plan * Risk/Issue Management Plan * Resource Management Plan * Communication Management Plan * Change Management Plan |  |
| SVR-004 | The contractor shall develop and maintain a detailed project schedule (D2) for the design, development, and implementation (DDI) of the solution, employing a sufficiently detailed Work Breakdown Structure, Task Dependencies, Critical Path, and Resourcing, and clearly identifying tasks where State involvement is required. |  |
| SVR-005 | The contractor shall baseline the Schedule and track and report on variances from the baseline on a cadence agreed with HTFC. |  |
| SVR-006 | The contractor shall document and manage project issues, risks, decisions, and actions items, for tracking and reporting. |  |
| SVR-007 | The contractor shall document and manage their resource plan to deliver the scope of services, for tracking and reporting. |  |
| SVR-008 | The contractor shall maintain all project documents and artifacts, including a complete version history, on a State repository. |  |
| SVR-009 | The contractor shall report status (D3) in a format and on a cadence agreed with HTFC, including but not limited to information on accomplishments of last reporting period, planned tasks for next reporting period, risks/issues, resource and budget updates, and Change Orders if any. |  |
| SVR-010 | The contractor shall collaborate with the HTFC Project Manager or designee for the production of an executive dashboard on a periodicity to be determined. |  |
| SVR-011 | The contractor shall provide ad-hoc progress reports, data, and information as requested by the State. |  |
|  | * 1. Staffing |  |
| SVR-012 | The contractor shall meet the following Key Personnel staffing requirements:   * Engagement Manager (Senior Executive). * Project Lead (primary point of contact for HTFC Project Manager). * Configuration Lead (responsible for architecting all technical aspects of the solution, leading the configuration and initial setup of the Software as a Service to meet the specific needs of the HCV Program, and unit/integration/system testing of the same). * Implementation Lead (responsible for leading the User Acceptance Testing, Go-Live, OCM/End User Training, Rollout, and Post Go-Live Hypercare Support). |  |
| SVR-013 | The Proposer shall propose a complete engagement team including Key Personnel and additional roles to deliver the scope of services. |  |
| SVR-014 | The Proposer shall provide detailed resumes of all proposed Key Personnel and two professional references. |  |
| SVR-015 | The contractor shall maintain a complete engagement team, including Key Personnel and additional roles to deliver the scope of services, with the team composition changing as needed over time, based on the Design, Development, and Implementation (DDI) phase. |  |
| SVR-016 | The contractor shall ensure that engagement team members are on site (actual locations to be determined by HTFC) at a minimum for the following tasks of the Design, Development, and Implementation (DDI) engagement:   * Requirements Fit-Gap Review/Validation. * User Acceptance Test Support. * Classroom Training Delivery. * Data Migration Planning. |  |
| SVR-017 | Should it become necessary to replace a team member, the contractor shall notify HTFC as soon as the need arises, provide replacement resources with equal or superior skills and qualifications, and ensure sufficient time to complete knowledge transfer before the replaced team member is offboarded, when possible. |  |
| SVR-018 | Should it become necessary that HTFC is not satisfied with the performance of a team member and seeks a replacement, the contractor shall work with HTFC to review the deficiencies, and if confirmed, provide a replacement resource with equal or superior skills and qualifications, and ensure sufficient time to complete knowledge transfer before the replaced team member is offboarded, when possible. |  |
| SVR-019 | The contractor shall obtain HTFC’s approval for any replacement Key Personnel. |  |
|  | * 1. Requirements Fit-Gap Analysis |  |
| SVR-020 | The Proposer shall describe in detail their strategy, best practices and lessons learned, and methodology and tools, for requirements fit-gap analysis and traceability. |  |
| SVR-021 | The contractor shall perform a detailed Fit-Gap Analysis between the envisioned solution’s requirements and the out-of-the-box (OOTB) commercial off-the-shelf (COTS) product’s (or service’s) capabilities, and provide a Requirements Fit-Gap Analysis document (D4). |  |
| SVR-022 | The contractor shall maintain a Requirements Traceability Matrix (D5) throughout the lifecycle of the design, development, and implementation (DDI) project. |  |
|  | * 1. Solution Design and Development |  |
| SVR-023 | The Proposer shall describe in detail their strategy, best practices and lessons learned, and methodology and tools, for solution design and development. |  |
| SVR-024 | The contractor shall provide a Design Specifications document (D6) for their commercial off-the-shelf (COTS) product (or service) that includes the following:   * Specifications on the implementation of each requirement. * User stories or use cases. * Screens/report changes/mockups – configuration/customization detail. * Workflow changes. * Non-functional requirement changes. * Data dictionary changes. * Security impacts/changes. * Role-based access configuration, at application and data level. * Control of access to data based on organizational structure. * System Interface specifications. |  |
| SVR-025 | The contractor shall obtain HTFC’s approval on design prior to starting development of the solution. |  |
| SVR-026 | The contractor shall provide a Technology Specifications document (D7) that includes the following:   * End user devices and requirements. * Connectivity requirements. * Data flow diagram. * System context diagram. * Environment configuration plan. * End-to-end interface configurations. * Transport mechanisms and protocols. * Network system configuration, including mobile. * System performance capacities. |  |
| SVR-027 | The contractor shall obtain HTFC’s approval on the technology specifications document prior to starting infrastructure setup and development. |  |
| SVR-028 | The contractor shall make sure that the infrastructure setup and application design support the requirements of the Information Security Plan (D7) as described in the Information Security section of the Service Requirements. |  |
| SVR-029 | The contractor shall provide and maintain in all non-production environments as needed to support initial design, development, and implementation (DDI) and subsequent Operations and Maintenance (O&M) and Systems Change Management responsibilities. |  |
|  | * 1. Information Security |  |
| SVR-030 | The Proposer shall describe their strategy, best practices and lessons learned, methodology and tools, for delivering information security services, in detail. |  |
| SVR-031 | The contractor shall develop an Information Security Plan (D8) deliverable within 60 business days of the contract approval. This deliverable shall address, in detail, how the solution and services will comply with the information security, privacy, and confidentiality requirements of this RFP, including testing and remediation processes. |  |
|  | * 1. Testing |  |
| SVR-032 | The Proposer shall describe their testing strategy, best practices and lessons learned, methodology and tools in detail. |  |
| SVR-033 | The contractor shall provide a Comprehensive Testing Plan (D9) that includes:   * An overall testing strategy and plan covering test environments/test data creation/defect management methodology and tools. * Test cases and automated test scripts where applicable. * Entry/exit criteria. * Templates for reporting on Testing. * Collaboration plan for User Acceptance Test (UAT), including but not limited to UAT test cases/scripts for HTFC review/approval, and support details for UAT execution. |  |
| SVR-034 | The contractor shall perform various types of testing, including but not limited to unit, integration, system, performance, browser compatibility, mobile platform, smoke. |  |
| SVR-035 | The contractor shall provide the following (D10) during and at the end of each type of testing for HTFC’s review:   * Reporting on test progress and metrics. * Test results. |  |
| SVR-036 | The contractor shall support HTFC for their User Acceptance Testing. |  |
|  | * 1. Data Migration |  |
| SVR-037 | The Proposer shall describe their data migration strategy, best practices and lessons learned, methodology and tools in detail. |  |
| SVR-038 | The contractor shall provide a Data Migration Plan (D11) that defines the data to be migrated, the process that will be followed to migrate the data, including testing any automated processes, and detailed data mapping of the source data locations and the destination data locations. |  |
| SVR-039 | The contractor shall obtain HTFC’s approval on the Data Migration Plan before any actual migration work starts. |  |
| SVR-040 | The contractor shall test data migration scripts and make any corrections necessary. |  |
| SVR-041 | The contractor shall support HTFC in data cleanup activities to be ready for data migration. |  |
| SVR-042 | The contractor shall enter a non-disclosure agreement with HTFC relative to staff that who have access to production data from the legacy system that will be migrated to proposed solution. |  |
| SVR-043 | The contractor shall migrate HTFC data defined in the Data Migration Plan from the source system(s) to the proposed solution (D12b). |  |
| SVR-044 | The contractor shall, in an expedient manner, correct any problems during data migration and ensure successful migration of all legacy data that is needed to ensure historical data retention, continuity of operations, and future operation of the program. |  |
| SVR-045 | The contractor shall provide periodic progress reports (D12a) during the data migration process. |  |
|  | * 1. Production Rollout |  |
| SVR-046 | The Proposer shall describe in detail their strategy, best practices and lessons learned, and methodology and tools for production rollout. |  |
| SVR-047 | The contractor shall provide a detailed Production Rollout Plan (D13), including but not limited to User Acceptance Test exit criteria, production environment setup, user account and initial data setup, production readiness assessment, Go/No-go decision process, rollback/contingency plan, Go-Live, hypercare support (immediately post-Go-Live), and related communications. |  |
| SVR-048 | The contractor shall obtain HTFC’s approval for the Production Rollout Plan. |  |
| SVR-049 | The contractor shall collaborate with State resources to plan for and ensure continuity of program operations as the user community transitions from the legacy system to the new solution. |  |
| SVR-050 | The contractor shall provide hypercare support immediately post-Go-Live, and for the first three months of production operations (D19b). |  |
| SVR-051 | During Go-Live, the Contractor shall provide daily status briefings on production operations. Beyond immediate Go-Live for the first three months of the system being in production, the contractor shall provide weekly status briefings of production operations. (D19c) |  |
| SVR-052 | The daily and weekly status briefings shall include, at a minimum, an assessment of post-Go-Live status, and hypercare metrics. |  |
|  | * 1. Organizational Change Management and End User Training |  |
| SVR-053 | The Proposer shall describe in detail their strategy, best practices and lessons learned, and methodology and tools, for organizational change management and end user training. |  |
| SVR-054 | The contractor shall provide an Organizational Change Management (OCM) Plan (D14) that includes, but is not limited to, the following:   * OCM methodology (such as ADKAR/other). * Change-related communications. * Sponsorship of change. * Stakeholder Impact Analysis/Management, Resistance Management. * Assessment of Readiness for Change, Mitigations. * End User Training, User Onboarding. |  |
| SVR-055 | The contractor shall obtain HTFC’s approval on the Organizational Change Management (OCM) Plan six months before the go-live date. |  |
| SVR-056 | The contractor shall execute the approved Organizational Change Management (OCM) Plan and report progress via project status reports. |  |
| SVR-057 | The contractor shall provide a comprehensive Training Plan (D15a). This plan is referenced within the Organizational Change Management (OCM) Plan. The Training Plan will include, but not be limited to, the following:   * Training Needs Analysis. * Training Schedule. * Training logistics (format, media, etc.). * Management of and reporting on Training execution. * Training evaluation/improvement plan. |  |
| SVR-058 | The contractor shall obtain HTFC’s approval on the Training Plan before any training can be delivered. |  |
| SVR-059 | The contractor shall provide focused training (D15b) in support of User Acceptance Test. |  |
| SVR-060 | The contractor shall provide in-person instructor-led classroom training, at a minimum of three physical sites (D15c), targeted for Statewide staff, Local Administrator (LA) upstate, and LA NYC user communities. |  |
| SVR-061 | The contractor shall develop and training material (D15d) and deliver, in electronic and paper format, for classroom training. The training material shall be reviewed with HTFC and refined per State feedback prior to training delivery. |  |
| SVR-062 | The contractor shall provide training material that can be used to train public users (such as Applicants, Owners, Participants) in a minimum of seven non-English languages (D15e), as stipulated by the Language Access Policy contained in NYS Executive Order 26. |  |
| SVR-063 | The contractor shall provide qualified personnel necessary to support Training. This will include a Trainer, at a minimum, who will possess the following qualifications:   * Expert in the out-of-the-box solution. * Fully conversant with the specific configurations to support the needs of the NYS Section 8 Housing Choice Voucher Program. * At least three years of training management and delivery experience.   Additional resources may be necessary for administrative support. |  |
| SVR-064 | The contractor shall provide webinar trainings (D15f) that can accommodate a class that could contain up to 25 trainees. The webinar would include live instruction by way of an audio stream or telephone, with the opportunity for questions and answers. This training must include each of the topics specified in this section, and any other materials identified by HTFC or the contractor, that would aid the end users in their utilization of this software solution. The schedule for these trainings should be planned in consultation with HTFC and provided to HTFC with sufficient notice to allow for at least 10 business days for coordinating attendance. |  |
| SVR-065 | Training shall include, but not be limited to, the following topics:   * Login/logout/password reset self-service. * Functionality related to full scope of the solution (see Scope). * Application Administration (including maintenance of configurable parameter value). * User account management. * Security features. * Reporting features. * Data Analytics features. * Interfaces with other systems, such as PIH Information Center (PIC)-Next Generation (NG). |  |
| SVR-066 | The contractor shall track training enrollment and completion status for HTFC and Local Administrator (LA) staff, as stipulated by HTFC, as well as evaluation results, and produce periodic status reports (D15g) for the duration of the contract. |  |
| SVR-067 | The contractor shall incorporate an evaluation mechanism at the end of the training to help with its continuous improvement. |  |
| SVR-068 | The contractor shall provide a separate and distinct system training environment dedicated for training purposes. |  |
| SVR-069 | The contractor will update the training plan annually, with any major updates or new functionality, for the life of the contract. |  |
|  | * 1. Hosting (Including Business Continuity and Disaster Recovery) |  |
| SVR-069 | The Proposer shall describe in detail their approach, methodology, and tools, for providing managed hosting services for the solution. |  |
| SVR-070 | The contractor may provide hosting services itself, or use an approved subcontractor as Cloud Service Provider (CSP); however, the contractor shall be solely responsible for ensuring that the requirements are met. The contractor shall obtain prior written approval from HTFC before entering into an agreement for hosting services to be provided by another entity, including but not limited to a third-party data center or other subcontractor, for purposes of this contract. |  |
| SVR-071 | The contractor shall obtain prior written approval from HTFC before changing the approved subcontractor for hosting services. |  |
| SVR-072 | The contractor shall utilize a shared multi-tenant government cloud as the hosting solution. |  |
| SVR-073 | The Cloud Service Provider (CSP) utilized by the contractor shall have attained a Federal Risk and Authorization Management Program (FedRAMP) Authorization to Operate (ATO) at a Federal Information Security Management Act (FISMA) high level. |  |
| SVR-074 | The Cloud Service Provider (CSP) utilized by the contractor must use qualified, accredited, Third-Party Assessment Organizations (3PAOs) to perform independent assessments on their service and systems. |  |
| SVR-075 | Data shall be hosted, and personnel accessing the data will be within the continental US. |  |
| SVR-076 | The contractor shall provide the hardware, software, communications, and other infrastructure necessary, including licenses that must be procured and maintained, to meet the requirements of this contract, at no additional cost to HTFC (D16). |  |
| SVR-077 | The contractor shall provide and maintain a hosting environment, secured as described in policies and standards at <https://its.ny.gov/tables/technologypolicyindex>, to provide required contracted services. |  |
| SVR-078 | The contractor shall utilize a Cloud Service Provider (CSP) secure data center to house equipment, with 24x7 system monitoring, managed firewall services, and managed backup services. |  |
| SVR-079 | The hosting solution shall be scalable to meet the needs of the Section 8 program to support future growth. |  |
| SVR-080 | The data center shall have a redundant, fault-tolerant network and connections to the internet. |  |
| SVR-081 | The contractor shall develop a Business Continuity (BC) Plan (D17) for the hosting business service, and have it approved by HTFC. |  |
| SVR-082 | The contractor shall conduct annual drills of the Business Continuity (BC) Plan, review results with HTFC, remediate any gaps identified, and review the remediation actions with HTFC. |  |
| SVR-083 | The contractor shall develop a Disaster Recovery (DR) Plan (D18) that addresses the recovery of hardware, software, and data that meet HTFC’s Recovery Time and Recovery Point Objectives for the solution. The DR Plan will include recovery of system integrations with external solutions. The contractor shall support a Recovery Time Objective (RTO) of 12 hours, and a Recovery Point Objective (RPO) of two hours for this solution. |  |
| SVR-084 | The contractor shall test the Disaster Recovery (DR) Plan annually, review results with HTFC, remediate any problems identified, and review the remediation actions with HTFC. |  |
| SVR-085 | The Disaster Recovery (DR) site must be located at a minimum distance of 50 miles from the primary site. |  |
|  | * 1. Operations and Maintenance |  |
| SVR-086 | The proposer shall describe in detail their approach, methodology, and tools, for providing managed operations and maintenance services for the solution in production. |  |
|  | * + 1. Solution Maintenance Services |  |
| SVR-087 | The contractor shall track all changes to HUD rules and regulations for the Section 8 HCV program, and upgrade the solution as needed to comply with these changes within the HUD prescribed deadline, at no additional cost to HTFC. |  |
| SVR-088 | The contractor shall ensure that all hardware, middleware, and software components used to operate the solution are on current supported versions. |  |
| SVR-089 | The contractor shall provide and provision the production environment with adequate capacity and performance required to support the solution and meet the Service-Level Agreements (SLAs) properly, to HTFC’s satisfaction. |  |
| SVR-090 | All software, including operating systems and middleware, as applicable, used to host the system shall have a patch management process in place to minimize security vulnerabilities. All patches shall be fully tested prior to implementation in the production environment. The contractor shall maintain a staging environment to be used for such testing. |  |
| SVR-091 | The contractor shall diligently process, categorize, and assess all changes to the production solution, validating that changes to the solution are tested and controlled. |  |
| SVR-092 | The contractor shall perform vulnerability scans of its solution prior to the release of new versions of the software. The software used to perform this scan must be approved by the State, and the results of the scans must be provided to and approved by the State prior to releasing new versions of the solution to production. |  |
| SVR-093 | The contractor shall plan and perform routine maintenance on a regular basis, to ensure proper operation. Routine maintenance shall be performed between the hours of 11:00 PM on Saturday and 6:00 AM on Sunday, Eastern Standard Time (EST). The contractor shall provide HTFC with 72 hours’ advanced notice of scheduled maintenance. |  |
| SVR-094 | The contractor shall provide managed backup services to support redundancy and failover capability. |  |
| SVR-095 | The contractor shall provide managed backup services to support the Recovery Point Objective (RPO) in the event of a disaster. |  |
| SVR-096 | All servers and devices shall have currently-supported and hardened operating systems, employing up-to-date antiviral, anti-hacker, anti-spam, anti-spyware, and anti-malware utilities. |  |
| SVR-097 | The solution and supporting infrastructure shall retain a history of all network and application accesses, including a history of all transactions performed while the user was logged on. This information must be retained for a minimum number of years, as specified by HUD guidelines, NYS law, regulations, policy and/or standards. |  |
| SVR-098 | The contractor shall periodically deploy releases of the solution following a controlled release management process. The release management plan (D20b) shall include related communications with HTFC. |  |
| SVR-099 | The contractor shall use appropriate automated and manual tools and processes to monitor system performance. |  |
| SVR-100 | The contractor shall apply continual efforts and resources to resolve incidents and problems identified on the solution by HTFC or one they have identified themselves. |  |
| SVR-101 | The contractor shall provide to HTFC monthly Operations and Maintenance (O&M) reports (D20c) in a mutually agreed format. These reports shall document past O&M performance, including but not limited to uptime and downtime, future scheduled maintenance activities, and system changes. |  |
| SVR-102 | The contractor shall provide or make available an encrypted copy of HTFC’s data in a mutually agreed format and at a mutually agreed periodicity. |  |
| SVR-103 | The contractor shall provide or make available an encrypted copy of HTFC’s data in a mutually agreed format at expiration or termination of the contract. Upon written acknowledgement of verified receipt and successful decryption of the data by the State, the contractor shall irreversibly erase all HTFC data from its systems. |  |
| SVR-104 | The contractor shall fully cooperate with HTFC, and any additional NYS agency or vendor designated by HTFC, to complete periodic penetration testing for the solution/service and any necessary remediation (D21). |  |
| SVR-105 | The contractor shall be expected to subcontract with an industry-recognized security firm (agreeable to HTFC/ITS) to subject the solution (and the environment in which it is maintained and operated) to an assessment using either FedRAMP Security Controls ([FedRAMP Security Controls](https://www.fedramp.gov/documents/" \t "_blank)), Cloud Security Alliance Consensus Assessments Initiative Questionnaire ([Cloud Security Alliance Consensus Assessments Initiative Questionnaire](https://cloudsecurityalliance.org/working-groups/consensus-assessments/#_downloads)), or an equivalent. |  |
| SVR-106 | The contractor shall provide notification to NYS within two hours of any suspected breach of security involving an individual’s personal or health information, in compliance with NYS policy <https://its.ny.gov/breach-notification>. |  |
| SVR-107 | The contractor shall fully comply with all current and future updates of the security procedures of HTFC, as well as with all applicable State and federal requirements, in performance of this contract. |  |
|  | * + 1. Help Desk Services |  |
| SVR-108 | The contractor shall develop a detailed Help Desk Service Plan (D22a) that includes, but is not limited to, the help desk model, channels of support, service level agreements (SLA) and key performance indicators (KPI), roles and responsibilities, including collaboration with State Help Desk where applicable, monitoring and reporting, and continuous improvement. The contractor shall define KPI targets as discussed with and approved by HTFC, including but not limited to Average Speed of Answer (ASA) and Call Abandonment Rate (CAR). |  |
| SVR-109 | The contractor shall provide incident and problem management services (D22b) to support the end users of the solution, per industry best practices such as Information Technology Infrastructure Library (ITIL). |  |
| SVR-110 | The contractor shall support the users of the solution through a phone- and email-based Help Desk, and a Self-Service Portal available on the internet. |  |
| SVR-111 | The phone-based Help Desk shall be accessible through a toll-free number and shall be operational 7am-7pm Monday through Friday, except State and federal holidays. |  |
| SVR-112 | The email-based Help Desk shall be accessible through a designated email address and shall be operational 7am-7pm Monday through Friday, except State and federal holidays. |  |
| SVR-113 | The email and Self-Service Portal shall be available 24 x 7 x 365 outside of approved maintenance windows. |  |
| SVR-114 | The contractor shall ensure that incidents reported to the Help Desk, or via Self-Service Portal, are resolved according to the Service Level Agreements (SLAs) defined in Table SR 1 – Incident SLA. |  |
| SVR-115 | The contractor shall determine if the incident is related to authentication and in that scenario reference the HTFC provided script directing the user to ny.gov self-service capability and coordinate the resolution with the NYS ITS help desk. The incident shall be entered and tracked in the NYS ITS incident system by the vendor. |  |
| SVR-116 | The contractor shall determine if the incident is related to connectivity between ny.gov and the solution, and in that scenario contact ITS liaison to collaboratively work towards its resolution. The incident shall be created in the NYS incident system by the vendor and the vendor will coordinate with ITS as necessary including participation with NYS staff on a coordinated ‘bridge’ call until the incident is resolved. |  |
| SVR-117 | The contractor shall provide support for problems that are the cause for one or more incidents. |  |
| SVR-118 | The contractor shall ensure that problems identified on the production solution are handled according to the Service Level Agreements (SLAs) defined on Table SR 2. |  |
| SVR-119 | The contractor shall provide to HTFC monthly Help Desk performance reports (D22c) in a mutually agreed format. These reports shall document Help Desk performance over the past month, including but not limited to Service Level Agreement (SLA) and Key Performance Indicator (KPI) metrics and planned improvements. |  |
| SVR-120 | The contractor shall be subject to service credits for violating Service Level Agreements (SLAs), as outlined in Table SR 3, Table SR 4, and Table SR 5. |  |
|  | * 1. Systems Change Management |  |
| SVR-121 | The Proposer shall describe in detail their approach, methodology, and tools, for providing systems change management services for enhancements to the solution in production. |  |
| SVR-122 | Where changes to the solution are required, the contractor shall provide Change Requests to HTFC in a mutually agreed format, for HTFC’s approval. The Change Request will include detailed information on scope, schedule, cost, and resourcing, and shall utilize Billing Rates agreed upon in the Cost Proposal. Once approved by HTFC, the contractor will work with ITS staff on service management/service delivery processes to coordinate changes and ensure compliance with State Requirements. Changes, incidents and problems will be recorded in the NYS ITS change management system. |  |

Table SR 1 – Incident SLA

| “**Incident**” is an unplanned disruption or degradation of service capabilities. An incident is something that needs to be resolved immediately. This can either be through a permanent fix or a workaround. An example of an incident would be a disruption in the system services caused by a server crash. If an outage is planned (e.g., scheduled maintenance), this is not an incident and should not be counted as part of the system performance metrics. If the planned outage exceeds the scheduled time, then the overtime for the outage becomes an incident if service capabilities are affected. Other examples would be if a system service becomes unusable, or service capabilities are degraded. Severity of the issue is determined by urgency and impact. Incidents are addressed by severity first, then age, with the oldest being addressed first. | | | | |
| --- | --- | --- | --- | --- |
| Severity | | | SLA | |
| Level | Title | Description | Initial Response | Incident Resolution |
| 1 | Critical | Production system is halted and/or data has been corrupted. If there is no reasonable workaround available, a patch may be produced. When an acceptable workaround is provided, the incident shall be downgraded to a lower priority. | 05 min | 4 hours |
| 2 | High | Incidents render a feature inoperable without a workaround. They do not cause the production system to be inoperative, but they disrupt the normal business operations. | 15 min | 16 hours |
| 3 | Medium | Incidents render a feature inoperable with an acceptable workaround to be used on an interim basis until incident addressed with a more effective work around and/or fix. | 20 min | 48 hours |
| 4 | Low | Incidents have little impact on the business and application, including questions not answered in the vendor documentation and documentation errors. Incidents may be addressed in a future release. | 30 min | 80 hours |

Table SR 2, Problem SLA

| “**Problem**” is a cause of one or more incidents. Problems are not incidents themselves, although an incident can expose a problem. Reference to a known incident may be made when opening a Problem. The cause of the Problem may be known or not known. | | | | |
| --- | --- | --- | --- | --- |
| Severity | | | SLA | |
| Level | Title | Description | Root Cause Analysis | Remediation Plan |
| 1 | Critical | Production system is halted and/or data has been corrupted and a workaround is available. An emergency hotfix or patch must be produced. | 24 hours | 48 hours |
| 2 | High | Problem renders a feature inoperable and a workaround is available. Production system is operational, but there may be disruptions in normal business operations. | 36 hours | 3 days |
| 3 | Medium | Problem renders a feature inoperable and no workaround is available. | 2 weeks | 15 days |
| 4 | Low | Problem has little impact on the business and application, including questions not answered in the vendor documentation and documentation errors. Problem may be addressed in a future release. | 4 months | 6 months |

Table SR 3, Service Credits for Uptime SLA

|  |  |  |
| --- | --- | --- |
| Service | Average Duration of SLA Violation\*\* | Credit Rate\* |
| Violation of SLA corresponding to solution non-functional requirement SNF-018 | Under 8 hours | 6% of the Monthly Service Rate\* |
|  | 8 hours to less than 12 hours | 12% of the Monthly Service Rate\* |
|  | 12 hours to less than 16 hours | 25% of the Monthly Service Rate\* |
|  | 16 hours to less than 24 hours | 37% of the Monthly Service Rate\* |
|  | 24 hours or greater | 50% of the Monthly Service Rate\* |
| The contractor shall track and report on all instances of SLA violation, and the duration of each, monthly. The average duration in hours shall be used to calculate the service credit according to the above scale. | | |
| **\*HTFC, at its sole discretion, may waive any service credits based upon precipitating events, such as catastrophic failure, multiple simultaneous failures, and/or contractor’s best effort to sustain/restore service. Monthly Service Rate is defined to include the aggregate monthly billings for all sites affected by the solution downtime.**  **\*\*Any partial hours will be rounded up to the next full hour.** | | |

Table SR 4, Service Credits for Concurrent User SLA

|  |  |  |
| --- | --- | --- |
| Service | Average Duration of SLA Violation\*\* | Credit Rate\* |
| Violation of SLA corresponding to solution non-functional requirement SNF-015 | Under 8 hours | 6% of the Monthly Service Rate\* |
|  | 8 hours to less than 12 hours | 12% of the Monthly Service Rate\* |
|  | 12 hours to less than 16 hours | 25% of the Monthly Service Rate\* |
|  | 16 hours to less than 24 hours | 37% of the Monthly Service Rate\* |
|  | 24 hours or greater | 50% of the Monthly Service Rate\* |
| The contractor shall track and report on all instances of SLA violation, and the duration of each, monthly. The average duration in hours shall be used to calculate the service credit according to the above scale. | | |
| **\*HTFC, at its sole discretion, may waive any service credits based upon precipitating events, such as catastrophic failure, multiple simultaneous failures, and/or contractor’s best effort to sustain/restore service. Monthly Service Rate is defined to include the aggregate monthly billings for all sites affected by the outage.**  **\*\*Any partial hours will be rounded up to the next full hour.** | | |

Table SR5 – Service Credit for Help Desk Incident Response

|  |  |  |
| --- | --- | --- |
| Service | Average Duration of SLA Violation\*\* | Credit Rate\* |
| Violation of SLA corresponding to service requirement SVR-109 and SLA table SR1 | Under 5 minutes | 6% of the Monthly Service Rate\* |
|  | 5 minutes to less than 10 minutes | 12% of the Monthly Service Rate\* |
|  | 10 minutes to less than 30 minutes | 25% of the Monthly Service Rate\* |
|  | 30 minutes to less than 60 minutes | 37% of the Monthly Service Rate\* |
|  | 60 minutes or greater | 50% of the Monthly Service Rate\* |
| The contractor shall track and report on all incidents where an SLA violation occurs, and the duration in minutes exceeding the defined SLA, monthly. The average duration in minutes exceeding the defined SLA shall be used to calculate the service credit according to the above scale. | | |
| **\*HTFC, at its sole discretion, may waive any service credits based upon precipitating events, such as catastrophic failure, multiple simultaneous failures, and/or contractor’s best effort to sustain/restore service. Monthly Service Rate is defined to include the aggregate monthly billings for all sites affected by the outage.**  **\*\*Any partial hours will be rounded up to the next full hour.** | | |

Table SR 5, Service Credit for Incident Resolution

|  |  |  |
| --- | --- | --- |
| Service | Average Duration of SLA Violation\*\* | Credit Rate\* |
| Violation of SLA corresponding to service requirement SVR-109 and SLA table SR1 | Under 2 hours | 6% of the Monthly Service Rate\* |
|  | 2 hours to less than 4 hours | 12% of the Monthly Service Rate\* |
|  | 4 hours to less than 8 hours | 25% of the Monthly Service Rate\* |
|  | 8 hours to less than 16 hours | 37% of the Monthly Service Rate\* |
|  | 16 hours or greater | 50% of the Monthly Service Rate\* |
| The contractor shall track and report on all incidents where an SLA violation occurs, and the duration in hours exceeding the defined SLA, monthly. The average duration in hours exceeding the defined SLA shall be used to calculate the service credit according to the above scale. | | |
| **\*HTFC, at its sole discretion, may waive any service credits based upon precipitating events, such as catastrophic failure, multiple simultaneous failures, and/or contractor’s best effort to sustain/restore service. Monthly Service Rate is defined to include the aggregate monthly billings for all sites affected by the outage.**  **\*\*Any partial hours will be rounded up to the next full hour.** | | |

Firm’s Name:

Signature of Firm’s Authorized Signatory:

Authorized Signatory’s Name and Title (print):

Date: