



# Homes and Community Renewal

Andrew M. Cuomo, Governor

RuthAnne Visnauskas, Commissioner/CEO

# Request for Proposals for SAP Technical and Application Management Services

Issuance Date:

June 15, 2020

Submission Deadline:

July 6, 2020, 2:00 PM, EDT

RFP NO.: 200615

**NEW YORK STATE HOUSING FINANCE AGENCY**

**641 LEXINGTON AVENUE**

**NEW YORK, NEW YORK 10022**

**[www.hcr.ny.gov](http://www.hcr.ny.gov)**

# *Proposal Checklist*

## **CHECKLIST FOR VARIOUS REQUIRED FORM RELATED ITEMS TO BE COMPLETED AND RETURNED:**

Intent to Submit a Proposal Form, Attachment 1

Tab 1 - Application Coversheet

Tab 1 - Cover Letter

Tab 1 – Minimum Qualifications, to be labeled as Attachment 2

Tab 2 – Technical Proposal demonstrating project approach under the proposed engagement

- References with contact information for prior engagements
- Resumes for Proposer’s principals and training staff and staff of Proposer’s subcontractors, listed in the Proposal Narrative
- Flow charts or other supporting materials, referenced in the Proposal Narrative
- Redlined revisions in Microsoft Word to the Master Services Agreement, attached hereto as Appendix V

Tab 3 – Cost Proposal

Tab 4 - Administrative Proposal

- [Lobbying Reform Law Form 1](#)
- [Lobbying Reform Law Form 2](#)
- [Non-Collusive Bidding Certification Form](#)
- [Vendor Information Form](#)
- [Vendor Responsibility Questionnaire – For Profit Business Entity](#)
- [Vendor Responsibility Questionnaire – Not For Profit Business Entity](#)
- Conflict of Interest Statement
- Statement regarding Disclosure of Commission Findings

Tab 5 - Diversity and SDVOB Proposal

- [EEO Staffing Plan, PROC-1](#)
- [Utilization Plan, PROC-2](#)
- [MWBE Waiver From, PROC-3](#)
- [Company Demographic Profile, PROC-7](#)
- [EEOC Statement, PROC-8](#)
- [Diversity Practices Questionnaire, PROC-9](#)

## **Standard Clauses and Requirements**

[Exhibit A, Standard Clauses and Requirements for Solicitations](#), hyperlinked herein

[Appendix I, Standard Clauses for Contracts](#), hyperlinked herein

Appendix II, [MWBE Participation Requirements and Procedures for Contracts](#), hyperlinked herein

Appendix III, Business Applications Modernization Project Process Inventory

Appendix IV, Workflow, Report, Interface, Conversion, Enhancement and Forms (WRICEF) Tracker

Appendix V, Master Services Agreement (which includes the Service Level Matrix)

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**NEW YORK STATE HOUSING FINANCE AGENCY**

**REQUEST FOR PROPOSALS**

**FOR**

**SAP TECHNICAL AND APPLICATION MANAGEMENT SERVICES**

**IMPORTANT NOTICE:** A Restricted Period under the Lobbying Procurement Law is currently in effect for this procurement process and will remain in effect until approval of the Contract(s). Prospective Proposers are prohibited from Contacts related to this procurement process with any employee of the New York State Housing Finance Agency (“**HFA**” or “**Agency**”), or its Affiliates<sup>1</sup> or its Sister Agencies<sup>2</sup>, other than the Designated Contact Officer listed below.

Lobbying Law Designated Contact Officer:

Alejandro J. Valella, Vice President and Deputy Counsel  
New York State Homes & Community Renewal  
New York State Housing Finance Agency  
641 Lexington Avenue, 5<sup>th</sup> Floor  
New York, New York 10022  
[Alex.Valella@nyshcr.org](mailto:Alex.Valella@nyshcr.org)

If you have inquiries regarding this request for proposal or would like to contact HFA regarding issues not relating to Lobbying Procurement Law Contacts, please forward inquiries via electronic email to Lisa G. Pagnozzi at [Lisa.Pagnozzi@nyshcr.org](mailto:Lisa.Pagnozzi@nyshcr.org), with a copy to [Berniesha.Coleman@nyshcr.org](mailto:Berniesha.Coleman@nyshcr.org).

Further information regarding HFA’s Lobbying Procurement Law policies are available in the [Standard Clauses and Requirements for Solicitations for HFA](#), hyperlinked herein as Exhibit A.

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<sup>1</sup> Affiliates shall mean the State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency, and Tobacco Settlement Financing Corporation.

<sup>2</sup> Sister Agencies shall mean the Housing Trust Fund Corporation and the New York State Division of Housing and Community Renewal.

# 1. Introduction

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[New York State Homes and Community Renewal](#) (“**HCR**”) consists of all the major housing and community renewal agencies of the State of New York (“**State**”), including the New York State Housing Finance Agency (“**HFA**” or “**Agency**”). HCR includes other agencies (i.e., Affiliates and Sister Agencies) not directly involved in this Request for Proposals process; however, the Housing Trust Fund Corporation (“**HTFC**”), reserves the right to enter into a contract with the successful Proposer selected by the Agency resulting from this RFP process for the provision of application management services (“**AMS**”) upon comparable terms.

## 2. Purpose

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The New York State Housing Finance Agency (“**HFA**” or “**Agency**”) requests competitive proposals from certified SAP implementation partners (“**Proposers**” or “**Service Providers,**” or “**Firms**”) qualified to deliver Technical and Application Management Services (“**AMS**”) for each of the SAP applications and business processes listed in the Business Applications Modernization Project (the “**BAM Project**”) Process Inventory, attached hereto and incorporated herein as Appendix III.

### 2.1 Background

HFA and its Affiliates (HFA and Affiliates hereinafter referred to collectively as “**Agencies**”) are implementing an Enterprise Resource Planning (“**ERP**”) solution to replace mission critical business applications originally developed in FoxPro that support the backbone of the Agencies’ business functions including (i) finance and accounting, (ii) treasury/bond administration/debt service management, (iii) investment portfolio management, (iv) loan origination and servicing for multifamily housing, (v) grants management, and (vi) property asset management/tax credits and compliance. SAP was selected as the Agencies’ ERP solution, for which a listing of the Agency’s SAP business processes. This ongoing Agency project, referred to as the Agency’s Business Applications Modernization (“**BAM**”) project or (“**BAM Project**”), now seeks an experienced AMS Service Provider qualified to deliver AMS under the resultant contract.

### 2.2 Current State

The planned BAM go-live date for this greenfield implementation is September 2020. The Agencies’ current implementation partner will provide hypercare for 30 days *after* the go-live date. Hypercare will aim to stabilize business operations in the new system. The selected Service Provider for this AMS contract will conduct knowledge transfer from the implementation (hypercare) teams and then perform assigned operational and technical tasks in a manner that will leverage and build-out HFA’s SAP S/4HANA (1610) implementation and seek to maintain and improve configurations a2nd customizations (which includes workflows, reports, interfaces, conversion, enhancement and forms, collectively, “**WRICEFs**”). For a detailed listing of the Agency’s WRICEFs, Prospective Proposers should refer to Appendix IV of this RFP, the Agency’s *WRICEF Tracker*.

In order to provide sufficient time for knowledge transfer before the handoff between the hypercare and AMS teams, the successful AMS Service Provider (“**Contractor**”) is expected to commence work thirty days prior to the projected go-live date of September 2020. This handoff will stabilize, further develop and enhance HFA’s existing SAP installation. The Contractor will ensure that the SAP implementation is stable and that all business processes and functions can be executed error-free. The Contractor will also accelerate HFA’s goals of continuous process improvement and improving Agency staff and HFA’s customer satisfaction by providing flexibility in executing design and development work, minimizing risks and lowering ongoing operating costs to HFA.

This RFP outlines the terms and conditions, and all applicable information required for submission of a proposal. To prevent possible disqualification and to ensure compliance with the requirements of the RFP, Proposers should pay strict attention to the Proposal Submission Deadline indicated in the *Calendar of Events and Milestones* section of this RFP and follow the format and instructions contained in this document.

### **3. Overview of the New York State Housing Finance Agency**

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#### **3.1 New York State Housing Finance Agency**

The [New York State Housing Finance Agency](#), a public benefit corporation, was created in 1960 to finance low- to moderate-income rental housing. HFA issues taxable and tax-exempt bonds to provide mortgage loans to developers of affordable multifamily rental housing. HFA’s mission is to create and preserve high quality affordable multifamily rental housing that serves communities across the State. Today, HFA is one of the nation’s largest issuers of multifamily housing bonds.

### **4. Assessment of Practices relating to Diversity and Service-Disabled Veteran Owned Business Enterprises (“SDVOBs”)**

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The Agency has determined, pursuant to New York State Executive Laws Article 15-a (“**Article 15-A**”) and Article 17-b (“**Article 17-B**”), respectively, that the assessment of participation by minority- and/or women-owned business enterprises (“**MWBEs**”) (assessment of participation by MWBEs hereinafter referred to as “**Diversity**”) and SDVOB practices of Firms responding to this RFP is practical, feasible, and appropriate.

#### **4.1 Minority and/or Women Owned Business Enterprise Participation**

The Agency is committed to awarding contracts to firms that are dedicated to diversity and provide high-quality services. The Agency strongly encourages firms that are certified by the State as MWBEs to submit responses to this RFP. All MWBE firms submitting proposals to this RFP must be registered as such with the State’s Empire State Development (“**ESD**”).

The Agency is required to implement the provisions of Article 15-A and 5 NYCRR Parts 142-144 (“**MWBE Regulations**”) for all Agency contracts, as defined therein, with a value in excess of \$25,000. The Agency strongly encourages joint ventures of MWBE firms with majority firms and

MWBE firms with other MWBE firms. For assistance identifying MWBE partners, review the [list of certified State certified MWBEs](#), hyperlinked herein.

For purposes of this solicitation, HFA hereby establishes an overall goal of 30% of total contract expenditures for MWBE participation, 15% for minority-owned business enterprises (“**MBEs**”) and 15% for women-owned business enterprises (“**WBEs**”).

## **4.2 Service-Disabled Veteran-Owned Business Enterprise Participation**

The Agency is committed to awarding contracts to service-disabled veteran-owned business enterprises that provide high-quality services. The Agency strongly encourages firms that are certified as SDVOBs to submit responses to this RFP. All SDVOB firms submitting proposals to this RFP must be certified with the State’s Office of General Services (“**OGS**”).

The Agency is required to implement the provisions of Article 17-B for all Agency contracts, as defined therein, with a value in excess of \$25,000. For assistance identifying SDVOB partners, review the [list of certified State SDVOBs](#), hyperlinked herein.

For purposes of this solicitation, the Agency hereby establishes a goal of 6% of total contract expenditures for SDVOB participation.

## **4.3 MWBE and SDVOB Partner/Subcontractor Interest**

State certified MWBEs and SDVOBs may request that their firm’s contact information be included on a list of MWBE and SDVOB firms interested in serving as a partner or subcontractor. The listing will be publicly posted on HFA’s website for reference by the bidding community. A firm requesting inclusion on this list should send contact information and a copy of its State MWBE certification and/or State SDVOB certification to [Lisa.Pagnozzi@nysher.org](mailto:Lisa.Pagnozzi@nysher.org). Such requests must be submitted on or before the Proposal Submission Deadline. Nothing prohibits an MWBE or a SDVOB firm from proposing as a prime contractor.

## **4.4 Primary Contractor and Subcontractor(s) Team**

In order to meet the RFP’s MWBE and SDVOB participation goals in the preceding subsections of the RFP, the Proposer may subcontract with MWBE and SDVOB firms. The Proposer must be the lead vendor (“**Primary Contractor**” or “**General Contractor**”) that will serve as the legal contracting entity with which HFA will enter into a contract if its proposal is selected. If the proposal includes products or services from any other participating vendors, it is understood that those vendors will serve as subcontractors to the Primary Contractor. The Cost Proposal should include and assume all costs required to meet the Scope of Work and the requirements of the RFP.



For purposes of evaluating proposals and developing the intended agreement between HFA and the Primary Contractor, all contributions to the Project from both the Primary Contractor and subcontractor(s), including skills, attributes, and products, will be considered as a total solution put forth by the Proposer.

All necessary communications will be directed to the Primary Contractor.

## 5. Calendar of Events and Milestones

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It is anticipated that a contract will be awarded in response to this RFP based on the following schedule:

<b>Event</b>	<b>Date</b>
Issuance of RFP	June 15, 2020
Non-Mandatory Pre-Bid Conference held via WEBEX	June 22, 2020, 1PM, EDT
Deadline for Submission of RFP Questions and Deadline for Submission of Intent to Bid Form	June 26, 2020, 12PM, EDT
Deadline for Agency Response to RFP Questions	June 30, 2020
Deadline for Proposal Submissions (“Proposal Submission Deadline”)	July 6, 2020, 2PM EDT
Interview Period	Week of July 13, 2020
Anticipated Selection Date*	Week of July 20, 2020
Contract Execution Target Date	August 6, 2020
Work Start Date	August 10, 2020

\*Subject to the approval of each Agency’s Board Members.

The Agency reserves the right to conduct interviews and modify this schedule at its discretion. Notification of changes in connection with this RFP will be made available to all interested parties via the Agency’s web page at: <https://hcr.ny.gov/procurement-opportunities>.

## 6. Contract, Pre-Proposal Conference and Questions

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### 6.1 Contract

The successful Proposer (“**Contractor**”) will be awarded a contract based on its relative experience (both at a company level and an individual resource level), qualifications, processes, methodology, costs and demonstrated ability to deliver the technical and application management services (“AMS”) deliverables identified in the Scope of Services section of the RFP. The term of the contract(s) will be for a one-year period, subject to initial approval by the Agency’s Boards and will include four one-year optional renewals, also subject to Board approval. Any contract that exceeds a five-year period will require the affirmative concurrence of the Agencies’ Boards to extend the contract(s) beyond five years without undergoing a new solicitation process. In addition, the Agency, at its discretion, may exercise its option to revise any provision of the contract, on an as needed basis, with the mutual written consent of the contracting parties.

Prior written approval must be received from the Agency for the use of any subcontractor, including substitution and/or change in existing subcontractor(s). The subcontract between the Primary Contractor and the subcontractor must receive prior written approval from the Agency. The sections relating to the scope of services and compensation in the subcontracting agreement must be well-defined.

The successful Proposer will be required to execute a Master Services Agreement with the Agency, (“**MSA**”), incorporated herein as Appendix V, the [Agencies’ Standard Clauses for Contracts](#) and [Appendix II relating to requirements and procedures for Participation by Minority Group Members and Women](#), both appendices hyperlinked herein. All proposals must include any required deviations from the MSA. Any proposed deviations in the form of the MSA will be factored into the selection process. The MSA may be downloaded from the Agency’s website at: <https://hcr.ny.gov/procurement-opportunities>.

In the event that the Primary Contractor abdicates its role as General Contractor, the Agency reserves the right to enter into contract(s) directly with any vendor(s) subcontracting with the General Contractor for this Project. All subcontractor contracts with the General Contractor for this Project must include a provision that states if the General Contractor abdicates its role as General Contractor that the subcontractor agrees to contract with the Agency directly under the same terms and conditions of the MSA between the General Contractor, and such subcontractor.

### 6.2 Pre-Proposal Conference & Webex

A Non-Mandatory Pre-Proposal Conference (“**Conference**”) will be held via Webex on the date specified in the Calendar of Events section of this RFP.

Information to join the Conference via Webex will be made available to prospective Proposers on HCR’s Procurement Opportunities’ webpage at <https://hcr.ny.gov/procurement-opportunities>. Prospective Proposers must submit their questions via the Online Chat of the Webex during the Conference.

Oral responses provided by representatives of the Agencies during the Conference are not formal and are not binding. Formal written responses to the questions received during the Conference will be published on the Agencies' procurement opportunities' webpage at: <https://hcr.ny.gov/procurement-opportunities>.

### 6.3 Post Conference Proposer Questions

After the Conference, any questions or requests for clarification regarding the RFP must be submitted via email to [Lisa.Pagnozzi@nyshcr.org](mailto:Lisa.Pagnozzi@nyshcr.org), citing the RFP page and section, no later than the date identified in the "Calendar of Events and Milestones" section of this RFP. The "Subject" line of the email should indicate "2020 AMS RFP Questions."

Questions will not be accepted orally and any question received after the deadline may not be answered. The list of questions/requests for clarifications and the official Agency responses will be posted in a timely manner on the [HCR's Procurement Opportunities' webpage](#), hyperlinked herein.

Proposers should note that all clarifications and exceptions are to be resolved prior to submission of the proposal.

An electronic version of this RFP will be posted on the [HCR's website](#) in addition to any subsequent changes, additions or deletions to the RFP, including the timelines and target dates. **Proposers are encouraged to check the HCR's website frequently for notices of any clarifications, changes, additions, or deletions to the RFP.**

## 7. Proposer Mandatory Qualifications

Proposers must meet all of the qualifications outlined in this section. Failure to do so will result in the rejection of the proposal.

### 7.1 Minimum Qualifications

The Proposer must meet each of the following criteria:

- 1) Possess a valid certification as SAP Implementation or Service Partner, such as at least one of the following certifications:
  - a) SAP Application Operations Partner
  - b) SAP Partner Edge Service Partner
  - c) SAP Application Management Services Partner
- 2) At least five (5) years of expertise in the design, implementation, integration, project management, daily maintenance and functional and technical operational support of S/4 HANA systems version 1610 or higher including its deployment in a cloud hosting environment such as Amazon Web Services, Google Cloud or Microsoft Azure in a Linux environment;
- 3) At least five years of expertise in the planning, installation, improvement and support of SAP HANA Database Platform with at least two years of experience on HANA version 2.0;

- 4) At least five years of expertise in the installation, configuration and interface of Fiori Front End Server 4.0 and higher with S/4 HANA and SRM;
- 5) Must have installed, configured and administered at least five implementations of Solution Manager version 7.2 with at least three of the following components:
  - a) Technical Administration
  - b) System and Application Monitoring
  - c) Business Process Operation, Monitoring and Improvement
  - d) Change Management
  - e) Root Cause Analysis
  - f) IT Service Management (ITSM)
  - g) Job Management
  - h) Guided Procedures
  - i) Test Suite

## 8. Scope of Services (“Scope of Work”)

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### 8.1 Preferred Experience and Qualifications

The Scope of Work requires the Proposer to possess the experience and qualifications listed below, including the ability to meet all requirements:

#### 8.1.1 Preferred Experience for Proposer

The Proposer’s proposal shall demonstrate at least five (5) years of experience with the provision of the following services:

- 1) Application operations – Maintenance, daily operations, and ongoing functional support for business applications for SAP S/4HANA including functional SAP application skills
- 2) SAP HANA operations – Management of solutions running on the SAP HANA platform;
- 3) Cloud and infrastructure operations – Management of on-premise or hosted infrastructure and cloud services and their interaction with other non-SAP systems via application program interfaces (“APIs”);

The Proposer should also demonstrate the following:

- 4) High degree of *resource continuity* throughout hypercare and ongoing production support phases of the Systems Development Lifecycle (“SDLC”);
- 5) A proven, successful methodology for implementing and supporting SAP (e.g. Activate);
- 6) Experience in implementing SAP Accounting, Treasury, Cash Management, Loans Management, Human Resources and Procurement modules;
- 7) Design and development of reports using SAP BOBJ Webi and Analysis for Office Tools;
- 8) Detailed knowledge of Fiori installation, customization and custom Fiori App development;
- 9) Experience in the implementation of SAP Budgeting and Planning for Public Sector;
- 10) Experience in configuring and setting up of high-availability and disaster recovery system configurations;
- 11) Expertise in SAP software upgrades across all SAP business processes implemented (as detailed in Appendix III of this RFP);

- 12) Technical resources across all SAP languages and frameworks (ABAP, WebdynPro, NetWeaver) implemented; and
- 13) At least three years of experience with NetWeaver Process Integration, (part of Process Orchestration) including the following features:
  - a) Business Process design, sequence interface and monitoring
  - b) Business process mapping tying to security roles and customizations

### **8.1.2 Preferred Qualifications for Staff**

Consultants should have several years of experience in S/4HANA, HANA database version 2.0, Fiori, Security, Process Integration, Business Objects, Business Warehouse, Hire to Retire [HCM], Cash to Invest [FSCM-TRM], Offer to Cash Debt & Loans [FSCM-TRM and FS-CML], Procure to Pay [SRM] and Plan to Report [FICO with funds management]. The Proposer should have staff with the following certifications and experience:

#### **1) AMS Project Manager**

- a) The client-facing AMS manager must have at least ten (10) years of experience in SAP project management; with at least three years of S/4 HANA Project Management experience and hold a least one SAP certification such as:
  - i) SAP Certified Associate - SAP Activate Project
  - ii) SAP Associate Project Manager

#### **2) SAP Certified Technology Associate - SAP Solution Manager**

- a) SAP EarlyWatch Reports and Service Level Reporting
- b) Managed Systems Configuration
- c) SAP Solution Manager Environment and SAP Solution Manager Sizing
- d) SAP Solution Manager System Landscape Design
- e) SAP Solution Manager Configuration
- f) Change and Job Management
- g) System and Application Monitoring and Dashboards
- h) System Landscape Management (SLD, LMDB)
- i) Process Management (SOLADM, SOLDOC)

#### **3) SAP Certified Technology Associate - SAP HANA 2.0**

- a) Perform SAP HANA Sizing and OS Preparations
- b) Create users, setup authorizations and verify security settings
- c) Execute database migrations to SAP HANA
- d) Perform SAP HANA backup and recovery
- e) Perform daily administration tasks
- f) Installing, upgrading and performing the post-installation task of the SAP HANA database
- g) Knowledge of the different database administration tools
- h) Installing and configuring SAP HANA Cockpit
- i) Knowledge of the SAP HANA system architecture and deployment options
- j) Configure and manage SAP HANA Scale-out systems
- k) Set up and manage SAP HANA System Replication
- l) Proactive Monitoring and troubleshooting of SAP HANA
- m) Analyze system performance problems using Root Cause Analysis

- 4) SAP Certified Technology Professional - System Security Architect**
  - a) SAP System Security Fundamentals
  - b) Authorization Concept for SAP S/4HANA
  - c) Secure SAP System Management
  - d) SAP NetWeaver Application Server Security
  - e) Authorization, Security and Scenarios in SAP HANA
  - f) Security in SAP Gateway and SAP Fiori System Landscape
  
- 5) SAP Certified Technology Associate - SAP Fiori System Administration**
  - a) AS ABAP System Administration
  - b) SAP Fiori System Landscape
  - c) SAP Fiori Infrastructure, Implementation and Operations, Architecture and Entities
  - d) Technology Components for HTTP-based Communication
  
- 6) SAP Certified Application Associate - SAP Business Objects Business Intelligence Platform**
  - a) Architecture, Administration, Platform Functionality, Monitoring and Auditing
  - b) Information Flow, Content Management
  - c) Installation and Backup, Design and Deployment
  - d) Platform Configuration, Troubleshooting
  - e) Understanding of Authentication, Authorization and Security
  
- 7) SAP Certified Application Specialist - SAP BW powered by SAP HANA**
  - a) Optimization Areas in SAP BW on SAP HANA
  - b) Data Provisioning into SAP HANA and SAP BW
  - c) SAP BW on SAP HANA Data Lifecycle Management
  - d) Modeling with SAP's Reference Architecture LSA
  - e) Hybrid Modeling in Mixed Scenarios
  
- 8) SAP Certified Application Associate - SAP Enable Now**
  - a) Implementation and Configuration
  - b) In-App Help Implementation, Creation & Localization, Maintenance & Deployment
  - c) Content Maintenance & Deployment, Creation & Localization
  - d) Collaborative Production Environment Setup
  - e) SAP Enable Now Upgrades
  
- 9) SAP Certified Application Associate Treasury with SAP S/4HANA**
  - a) Cash Operations & Bank Account Management
  - b) Transaction, Financial Risk & Liquidity Management
  - c) Payment Processing
  - d) Hedge Management and Hedge Accounting
  
- 10) SAP Certified Application Professional - Financials in SAP S/4HANA**
  - a) Financial and Management Accounting Configuration in SAP HANA
  - b) Asset Accounting Configuration in SAP Accounting in SAP HANA
  - c) Architecture Overview of Financials in SAP S/4HANA and the Central Finance Solution
  - d) System Preparation and Configuration of Financials in SAP S/4HANA
  - e) Basics of Cash Management Powered in SAP HANA
  - f) Understanding of SAP BPC for SAP S/4HANA

**11) SAP Certified Application Associate in Business Process Integration with SAP S/4HANA**

- a) Core Finance: Financial Accounting (FI) and Management Accounting (CO)
- b) General understanding of SAP S/4HANA modules and processes:
  - i) Enterprise Asset Management
  - ii) Offer to Cash Processing
  - iii) Plan to Report Processing
  - iv) Procure to Pay Processing
  - v) Warehouse Management
  - vi) Human Capital Management

**12) SAP Certified Technology Associate - Process Orchestration**

- a) Business Processes Modeling and BPMN 2.0 (Business Process Management Notation)
- b) SAP Processes Integration Architecture and Mappings
- c) Understands the System Landscape Directory (SLD) and Enterprise Service Repository (ESR)
- d) Operations and Process Monitoring in SAP Process Orchestration
- e) Configuration in Eclipse (iFlow and Data Flow)
- f) Understanding of SAP Business Rules Management (BRM)
- g) The Role of the Advanced Adapter Engine Extended (AEX)
- h) Roles and Authorizations of a BPMN Process
- i) Integration Objects in the Integration Directory
- j) Basic Concepts for data flows

**13) SAP Certified Application Associate - Supplier Relationship Management**

- a) Self Service Procurement Processes
- b) Supplier Self Services and Supplier Registration
- c) Operational sourcing
- d) Plan Driven and Service Procurement Processes
- e) Contract Management
- f) Procurement Documents in SRM and ERP
- g) Basic NetWeaver Portal administration and integration
  - i) Portal UI and WebDynpro UI configuration
  - ii) Field control
- h) Accounting and ERP integration
- i) Monitoring of documents, processes and system communication; BADI concept
- j) Bidding, Auctioning and E-Sourcing Processes
- k) Catalog Management
- l) Workflow implementation and features
- m) Master data (product and business partner)
- n) Organization structure and user management
- o) Customizing data synchronization

**14) SAP Certified Development Specialist - ABAP for SAP HANA 2.0**

- a) Knowledge of Guided Performance Analysis
- b) Integration of SAP HANA Coding into ABAP Programs
- c) SAP HANA Information Models & Database Procedures
- d) SAP Development Tools for SAP NetWeaver
- e) ABAP Programming based on SAP HANA Artefacts

### 15) SAP Functional Resources (with certifications, where applicable)

- a) Functional resources for the Offer to Cash Loans process area must have in-depth and up-to-date knowledge of this module and at least five (5) successful full lifecycle implementations of the SAP Consumer Mortgage Loans (FS-CML) module;
- b) Functional resources for the Offer to Cash Debt and Cash to Invest process areas must have at least five (5) successful full lifecycle implementations of the SAP Treasury and Risk Management (FSCM-TRM) module;
- c) Functional resources for the SAP Procure to Pay process area must have knowledge of SRM/MM module areas and its integration into FICO.
- d) Functional resources for the SAP Hire to Retire process area must have knowledge of SAP's HCM module area and its integrations with standard payroll and timekeeping software and into FICO.
- e) Functional resources for the SAP Plan to Report process area must have knowledge of FICO and its use with funds accounting.

### 8.1.3 AMS Support Requirements

The Agency requires the following Application Management Service components:

- 1) **Incident Management** Ticket management from Power Users [to be defined or listed], for the analysis and resolution of incidents according to the defined scope of applications and business processes including recommendations on application- and system optimization and representation in behalf of the agency when communication with SAP becomes necessary.
- 2) **Problem Management** Ticket management from Power Users [to be defined or listed], for the root cause analysis and resolution of problems according to defined scope of applications and business processes including recommendations on application- and system optimization and representation in behalf of the agency when communication with SAP becomes necessary.
- 3) **Request Fulfillment** Ticket management from Power Users [to be defined or listed] for the implementation of service requests, requests for continuous operations or standard changes with limited scope
- 4) **Change Management** Ticket management from Power Users [to be defined or listed] for the analysis of requests for change according to defined scope of applications and business processes including the scope definition, commercial validation and creation of documentation for Change Requests in collaboration between the Proposer's AMS Engagement Manager and the appropriate agency's counterpart.
- 5) **Event Management** for the monitoring of activities and creation of Incident Tickets for identified issues or measurements beyond agreed thresholds; monitoring alerts, categorization of alerts according to criticality, and creation of Incident Tickets for critical alerts, taking corrective actions by processing the Incident Tickets, proactive adjustment to relevant parameter to avoid further issues and representation in behalf of the agency when communication with SAP becomes necessary.
- 6) **Proactive Services for SAP Applications** performance of recurring services that do not require a Service Requests but are documented within the service reporting. Examples of proactive services are:



- a) **Proactive Solution Maintenance** which includes proactive evaluation of available SAP Security Notes and SAP Legal Change Notes and the management and execution of the SAP Support Packages Stack (SPS) implementation (both technical and functional) according to the defined scope of applications and business processes.
- b) **Test Management & Execution** which includes the management of a testing plan in operations and performing readjustments on a regular basis, including:
  - i) Build of test case library for agreed test scenarios,
  - ii) Enabling of test automation by scripting test cases,
  - iii) Execution of regression test scripts and manual test scenarios
  - iv) Proactive maintenance of test scenarios and scripts for customer solution in scope,
  - v) Corrective actions for test case defects and documenting change logs in Incident Tickets,
  - vi) Defect logging and triggering of corrective actions for test findings by creating Incident Tickets for applicable functional area
  - vii) Reporting on test progress during execution
- c) **Release & Deployment Management** which includes the management of the release & deployment service plan in operations and performing readjustments on a regular basis, including:
  - i) Definition of release categories, change categories and priorities,
  - ii) Provision of customer major and minor release calendar,
  - iii) Planning of retrofit activities for dual track landscapes (maintenance and development landscapes),
  - iv) Management of release cycles,
  - v) Support the engagement management and coordination of release activities
  - vi) Support of Project Portfolio Management (major releases) and support of Change Request Management (minor releases)
- d) **Managed Operations Control Center** the formation of an Operations Control Center equivalent to an SAP Center of Expertise in collaboration with the agency, in charge of:
  - i) Establishment of critical incident procedures in collaboration with customer business and IT processes,
  - ii) Proactive monitoring of pre-defined monitoring metrics, monitoring alerts and exceptions, executing analysis for thresholds that are breached (events),
  - iii) Executing documented remediation activities into help mitigate business or operations impact, on demand trigger resolution process for critical incidents on behalf of customer and maintenance of monitoring environment and dashboard capabilities
- e) **Security Operations** for the management of security in operations for the defined scope of applications and business processes, including:
  - i) Security Operations Management, including Security Advisory, Strategy & Planning (Management of effectiveness of security service plan in operations and readjustment on regular basis)
  - ii) Security Baseline Packages including an External Support Authorization Concept and Security Risk Assessment;
  - iii) Continuous SAP Security Monitoring including setup and execution of Security Monitoring,
  - iv) Security Audit Log Analysis;
  - v) Security for Solution Maintenance including Authorization Upgrade and Adjust authorization concept;

- vi) Compliance Packages including Segregation of Duty (SoD)
  - vii) Check and Pre and Post Audit Guidance
  - viii) Security for Application Operations containing RFC Security
  - ix) Check and apply SAP Security Notes,
  - x) Secure Network Communications (SNC), Kerberos Authentication for SAP GUI and User and Role Management
  - xi) Security Test Support including an Automated Authorization Test.
- 7) **Continuous Improvement** for the provision of value-add services to be documented in a Ticket and made transparent via the service reporting. Extension and adjustment of continuous improvement scope need approval for change requests. Examples of continuous improvement services are:
- a) **IT Operations Improvement** for analysis of the effectiveness of operations and management of the operations improvement service plan, including readjustment on regularly basis. The procedure includes analysis of Customer's current and targeted maturity state in terms of operations, Application Lifecycle Management, IT Service Management. The deliverable outcome is designed to trigger implementation and adoption of service plan items as approved by the customer through execution of scoping, planning and review workshops.
  - b) **Business Improvement** for regular pro-active analysis of customer business requirements for the SAP application environment, including the provision of SAP solution architecture guidance, identification of potential technological and business process related improvement and innovation potentials. The deliverable includes development and maintenance of an improvements backlog, proposal of high-level implementation design, effort estimation and mapping to release & deployment plan.

## 8.2 HCR's Implementation of SAP S/4HANA

HCR implemented SAP S/4HANA (1610) and has 229 customizations (workflows, interfaces, enhancements, or forms) and 112 reports to maintain. The Agency's long-term applications support strategy is to reduce the customizations to only those needed. The Selected Proposer must support the customizations to the existing WRICEFs outlined in Appendix IV and the long-term application strategy over the contract term. HCR has three business lines covered by this first phase of its SAP implementation with additional or potentially merged business lines planned for in other phases of the project:

- a. Single family grant making organized under the Affordable Housing Corporation ("**AHC**");
- b. Multifamily housing finance (mortgage lending) organized under the Housing Finance Agency ("**HFA**"); and
- c. Asset management and low-income housing tax-credit ("**LIHTC**") compliance for its multifamily housing portfolio, also organized under HFA; this functionality is not within the scope of the SAP implementation but fits within another front-end system.

As demonstrated in Appendix III (“Business Applications Modernization Project Process Inventory”), HCR has several back-office functions organized under five end-to-end processes and their supporting SAP modules\*:

#	End to End Business Process	SAP Modules/Functionality
1.	Hire to Retire	Human Capital Management (“ <b>HCM</b> ”) [organizational structure and travel]; ADP interface for payroll posts directly to general ledger/Financial Integration (“ <b>FI</b> ”)
2.	Plan to Report	Financial Controlling (“ <b>FI/CO</b> ”) Controlling (cost center accounting and internal orders); General Ledger; Funds Management (using Profit Center field); Accounts Receivable; Accounts Payable; and SAP Budget and Planning for Public Sector (“ <b>SBP</b> ”)
3.a	Offer to Cash for Loans	Consumer Mortgage Loans (“ <b>CML</b> ”)
3.b	Offer to Cash for Debt	Financial Services Collateral Management (“ <b>FSCM</b> ”)
4.	Cash to Invest	Treasury and Risk Management (“ <b>TRM</b> ”)
5.	Procure to Pay	Supplier Relationship Management (“ <b>SRM</b> ”); Materials Management (“ <b>MM</b> ” for purchasing only); Contracts
6.	Reporting	Business warehouse (“ <b>BI/BW</b> ”, MSG reporting tool) Business Objects Business Intelligence Suite; HANA Studio; CDS Views.
7.	Technical	Enterprise Portal (eThru, ESS, MSS) [not in current use]; Process Integrator; Business Warehouse; ABAP, Screen Painter, Web Dynpro; SAP Workflow; Adobe Forms and SmartForms. Interfaces with non-SAP systems (not responsible for processes in those systems, but for the interfaces between SAP and those systems). ABAP Code Enhancements have performed using BADIs, Enhancement Spot, Enhancement section, Business Data Toolset (“ <b>BDT</b> ”) and implicit Enhancements
8.	Operating System & Security	Basis; Linux; and Security Roles Management;
9.	Solution Manager	Solution Manager (mostly ChaRM); Transport Management System; System Monitoring; Business Process Hierarchy (not configured).

\*Proposers shall refer to Appendix III for the Business Applications Modernization Project Process Inventory listing.

The primary objective of the AMS initiative is that Agency achieves a high degree of system stability (through corrective, adaptive and preventative maintenance) with the option to enhance the system

(perfective maintenance) through a change management process and change control board governance, as further defined.

### **8.3 Transition and Knowledge Transfer from Implementation Team**

The Selected Proposer must arrive at least thirty (30) days prior to go-live; however, not all AMS team members need to arrive on site at the same time. HFA reserves the right to call some functional leads earlier than this 30 days before go-live to ensure that transition work can be managed to each functional area workstream (i.e., Procure to Pay, or Offer to Cash, for example).

#### **8.3.1 Transition Tasks and Deliverables**

Within two (2) business days receipt of a Notice of Award, under this contract, the Selected Proposer shall attend a contract kick-off meeting to be held either remotely or at the HFA's offices in Midtown Manhattan, at the Agency's discretion. The Selected Proposer's core team identified in the proposal shall meet onsite (at HFA) with HFA representatives to discuss in detail the requirements of the contract, and the Selected Proposer shall provide a proposed plan of action for the transition and bring up any issues or items that require clarification or guidance. At the kick-off meeting, a copy of the fully executed Agreement and all documentation will be discussed as well as the Transition Plan described in the sections below. Within five (5) working days after the meeting, the Selected Proposer must prepare minutes of this meeting, including a follow-up items list for both the Selected Proposer and the Agency, and provide to the Agency's Program Manager.

*Deliverable* - One-time attendance at the contract kick-off meeting at the HFA's offices in Midtown Manhattan, plus the minutes of the meeting delivered to the HFA's Program Manager.

#### **8.3.2 Engagement Plan**

The Engagement Plan has four phases: Transition, Stabilization, Operations and Closure.

##### **8.3.2.1 Transition Phase**

The Transition phase has the objective to establish cooperatively all roles, processes and tools required for a successful delivery of the Application Management Services in the next phases. Support tickets are usually not processed during this phase.

The Selected Proposer will provide a support structure so that the resources required to provide the Application Management Services are available and that they have the necessary customer-specific knowledge of the supported applications that will be used. This includes:

- a) Appointing AMS's Engagement Manager
- b) Integration into the processes of the proposer's AMS Service Desk
- c) Knowledge transfer to the Selected Proposer's support team concerning the customer-specific SAP solutions and business processes

A mutually agreed transition plan will be drafted in detailed discussions with the Customer during the initial stages of the transition and will be used to track all services throughout this phase. The Transition Phase must include the knowledge transfer to make the Selected Proposer's AMS team familiar with the specifics of the Customer's solution.

The knowledge transfer will be coordinated by the Proposer Engagement Manager with strong cooperation of the Customer and any other business partners, project managers and consultants responsible for the implementation. The knowledge transfer will focus on the business processes listed in the applicable scope.

The knowledge transfer will provide the Proposer AMS team with the necessary knowledge required for the provisioning of the services, which may, as appropriate include information, records, documents, test scripts, data and live demo sessions. The Transition phase is a project in itself and consists of 2 primary steps: Transition Planning and Transition Execution (including final service validation and test).

The main steps in the Transition phase are as follows:

Transition Planning	Planning and Preparation	Detailed workshops between Customer and the Selected Proposer, team onboarding, defining responsibility matrix and governance models. Prepare service plan creation for contracted Proactive Services for SAP Applications and Continuous Improvement services.
	Setup	Request and provisioning of infrastructure and application accesses and other resources necessary to support the Customer. Setup and testing of software tools for operations required to deliver the services in scope.
Transition Execution	Knowledge Acquisition	The Selected Proposer to attend knowledge transfer sessions led by the Customer or responsible contact partner of Customer, if applicable and gather, update and/or prepare documentation, if necessary. Review of documentation provided by Customer.
	Shadow Support	Optional step: Selected Proposer to observe and assist Customer team on-site or remotely
	Reverse Shadow Support	Optional step: Selected Proposer to perform services while Customer team to support as escalation contacts.
	Service Plan Creation	Optional step: Detailed workshops between Customer and Selected Proposer for contracted Proactive Services for SAP Applications and Continuous Improvement services. Create the applicable service plans for proactive execution. Sign off the service plan and related action items for execution within AMS engagement.
	Finalize Transition Phase	Service Test on SLA Management, Reporting and Monitoring. Proposer to perform final Operations Readiness checks and move on to coordinate cutover activities. Sign off the Transition phase by Customer and Selected Proposer.

The Selected Proposer shall submit a Transition Plan. Planning and execution are key to the success of the transition of the duties and responsibilities for this project. Therefore, detailed planning activities are being required from the Selected Proposer. The Selected Proposer shall provide to the Agency a multipart written report containing the following information.

#### Transition Task Plan - “Initial Ramp-up”

A detailed project plan describing the high-level activities and tasks and timeline. The report is to include a Microsoft Project task plan detailing the overall project tasks and timelines.

##### 1. Knowledge Transition Work Plan

Within fifteen (15) calendar days after contract signing, the Selected Proposer shall develop and implement a Knowledge Transition Work Plan to assume service and maintenance activities currently being handled by HFA staff and selected proposers. This plan will be no less than 30 calendar days (one calendar month) and no greater than 50 calendar days in length. The plan’s duration and implementation are dependent upon approval by HFA.

The Knowledge Transition Work Plan will take into consideration the following key objectives, including but not limited to:

- a. Transition responsibilities, technical know-how, and business knowledge from Agency staff and existing selected proposers efficiently and effectively;
- b. Estimate number of days for completion;
- c. Accomplish transition within the timeframe specified;
- d. Manage an orderly transition without disruption of service to users, partners, or customers;
- e. Transition work materials such as software, system documentation, and development support tools;
- f. Perform scoping assessments using a measurement system to determine the scale of maintenance needs for an enterprise platform or system (“assets”). Proposers are encouraged to offer a measurement system that will be used throughout this contract for planning, estimating, executing, and monitoring maintenance related activities;
- g. Transition knowledge related to managing the system lifecycle;
- h. Collaborate with the Agency to develop and confirm service level agreements as shall be solicited from the proposers, which will be part of the technical proposal;
- i. Update the proposed detailed Knowledge Transition Work Plan to reflect adjustments made during the transition task.

##### 2. Transition Activities Completed

Upon receipt of the written approval from the Agency’s Project Manager for the Transition Plan deliverable cited above, the Selected Proposer shall have sixty (60) calendar days from the Notice to Proceed to implement and complete the transition activities agreed upon by both the Agency and the Selected Proposer as a result of such task to assume service and maintenance activities currently being handled by Agency staff and existing selected proposers.

### 3. Transition Completion Report

At the end of the 30 to 50-day transition period, the selected Proposer shall deliver a completed Transition Activities; the Selected Proposer shall prepare a report that documents the completion of the transition activities and provides the status of each objective and activity that took place during the transition period. The report must be submitted to HFA's Project Manager for review and approval. The Agency's Project Manager will provide a written notification to the Selected Proposer acknowledging acceptance of this task.

Deliverable - Successful completion of planned Transition Activities described and approved from the deliverable of the Transition Plan above. Also, due is a one-time report, which shall be submitted to the Agency's Project Manager for review and approval within the timeline defined within the Service Levels. Transition Deliverable Payment(s) will not be made until HFA has reviewed, approved, and fully accepted the work completed for the transition.

### 4. System and Scope Assessment Report

Within fifteen (15) calendar days after contract signing, the Selected Proposer shall develop a System and Scope Assessment Report that should include a list of what types of information will be gathered for each system, the method to be used to collect that information, the format for documenting that information and the plan outlining how that documented information will be preserved. This report is subject to review and revision by the Agency prior to acceptance. The goal is to demonstrate an understanding of both the business use and technical components/architecture of the HFA platforms subject to managed services. Refer to Appendix III, the Business Applications Modernization Project Process Inventory for the business processes currently within scope.

### 5. Planned Maintenance Schedule

Within fifteen (15) calendar days after contract signing, the Selected Proposer shall provide a listing of all identified and anticipated Planned Maintenance activities for the first year of the contact.

### 6. SLA Management Plan

The Selected Proposer shall describe the actions that will be in place during the contract to assure active support and reporting of the agreed to Service Levels defined within the Master Services Agreement.

### 7. Recurring Issue Maintenance Response Plan

The Selected Proposer shall provide the planned actions that will identify and solve (or assist with solving) issues that are reoccurring (resolutions that must be applied 3 or more times in any 3 running month period).

### 8. Documentation Management Plan

Within fifteen (15) calendar days after contract signing, the Selected Proposer shall describe how information will be documented and distributed to their internal staff, any subcontractors, and to the Agency. This is key to proper communications of activities and responsibilities to all involved.

*Deliverable* - Successful delivery and acceptance of the document with the described sections within the timeline defined within the Service Levels outlined in the MSA. This deliverable is intended to indicate that the Selected Proposer has the information and plans necessary for a successful transition of responsibilities and duties defined within this RFP and contract.

#### 9. Software Development Lifecycle Documentation

Within fifteen (15) calendar days after contract signing, the Selected Proposer shall document the Software Development Lifecycle (SDLC) methodology used at the Agency and the changes made in order to incorporate the Selected Proposer into the methodology.

*Deliverable* – Delivery and acceptance of two or more methodology documents. Because of the immediate need for changes to ServiceNow, the first document (ServiceNow SDLC) is due Within the timeline defined within the Service Levels indicated in the MSA.

#### 10. Initial Operations Procedures Update

Within fifteen (15) calendar days after contract signing, the Selected Proposer shall work with the Agency's IT staff and jointly develop Standard Operating Procedures on the daily operational duties and responsibilities of both parties.

*Deliverable* - The Selected Proposer shall provide the Agency with these documents Within the timeline defined within the MSA.

#### 11. Information Technology Service Management (ITSM) Modifications

The Selected Proposer shall work with the Agency to define the required changes needed within the current ITSM application to allow the selected proposer to be engaged in, create, actively work, and resolve (or close) Incidents, Problems, Requests, Changes, Knowledge Articles and Service Levels. These modifications are on the critical timeline to the success of this RFP. The system must allow Agency to create Requests, Incidents, Changes, Knowledge, and SLA items that can be accessible and worked on by the Selected Proposer. This deliverable will include requirements gathering, configuration changes, testing, working with the Agency on implementation and will include any training information for changed processes so the Agency's staff and partners can fully use the changes implemented.

*Deliverable* – Successful Implementation of modifications to the Incident, Change, Knowledge, Request, Problem, Service Level and CMDB modules or functions within the Agency's Production instance of ServiceNow. This deliverable shall be completed within the timeline defined within the MSA.



### 8.3.2.2 Stabilization Phase

The Stabilization phase has the objective to mature all aspects of solution operations to a steady state when productive SLA measurement starts in the Operations phase.

During the Stabilization Phase tickets are processed in compliance with the Event-, Incident-, Problem, Change Management or Request Fulfilment Process. During this phase, application landscapes shall be stabilized and the consultants' familiarity/understanding with the system landscape increased.

The main steps in the Stabilization phase are as follows:

Stabilization	Kick-off Operations	Conduct a kick-off meeting with the Customer organization (e.g. key users).
	Finalize documentation and ITSM procedures	Business processes and technical documentation by Customer and AMS Procedural Manual by the Proposer will be updated along the experiences made in the stabilization phase to complete relevant documentation to provide the services.
	Shadow Support	Optional step: Selected Proposer to observe and assist Customer team onsite or remotely (locations to be determined).
	Reverse Shadow Support	Optional step: Selected Proposer to perform services while Customer team to support as escalation contacts.
	Signoff	Perform exit criteria of Stabilization and Obtain customer sign off to commence Operations

### 8.3.2.3 Operations Phase

#### Operations

The Operations Phase is the main phase of the AMS engagement.

The services during Operations Phase will be documented in a Ticket, which has to be processed in compliance with the Event, Incident, Problem, Change Management or Request Fulfillment Process. All Tickets are processed in accordance with the agreed SLAs and solution scope as defined in the applicable scope.

The main steps in the Operations phase are as follows:

Operations	Service delivery	Perform day-to-day monitoring and support
	SLA monitoring	Perform SLA monitoring to prevent SLA violations
	Governance meetings	Perform regular internal meetings and meetings with the customer to meet quality of service delivery and to discuss and agree on proactive tasks as well as continuous improvements

	Reporting and Invoicing	Provide regular reporting
	Update documentation about ITSM procedures	Regularly review and update of business processes and technical documentation by Customer as well as the AMS Procedures Manual by the Selected Proposer.

#### 8.3.2.4 Closure

The Closure Phase is the last phase of the AMS engagement. The start and end of this phase is not planned at the time of contracting but agreed on once either Customer or the AMS Provider provide termination notice, the duration of this phase varies depending on the finalization of activities.

The objective of the Closure Phase is to jointly ramp down the AMS service by handing back responsibilities to the Customer or another AMS provider. The AMS Provider will return all Customer documents received and provide support to the knowledge transition sessions as may be requested by the Customer during this engagement Closure Phase. During the Closure phase service delivery continues as described in Operations Phase, i.e. this particularly includes Ticket processing in compliance with the Event-, Incident-, Problem-, Change Management or Request Fulfillment Process. Additional activities are managed in a project. A joint project plan (Exit Plan) will be drafted in detailed discussions with Customer during the initial stages of the Closure Phase and will be used to track all services throughout this phase.

The main steps in the Closure Phase are as follows:

Knowledge Transfer	Knowledge Transfer sessions	Customer to attend knowledge transfer sessions led by SAP.
	Handover meeting and sign-off	Customer and AMS Provider verify that if all closure action items have been executed and customer signs off the official end of the engagement.
Engagement Closure	Ticket handling	Ticket processing and confirmation by the Customer before Services end
	Deactivation	Termination of processes, meetings, final reporting and invoicing
	Setup	Deactivation of users, infrastructure and tool environment

#### Transition Plan – “Disentanglement”

A high-level plan describing the anticipated activities and tasks with an approximate timeline describing the expected tasks needed for the Selected Proposer to be removed from the duties and responsibilities described within this RFP and resulting contract. The plan shall include an estimated timeline of major events. The Selected Proposer will assume that another organization (either another contractor or HFA) will assume the duties and responsibilities.

#### 8.3.2.5 HFA Information Security Standards

The Contractor shall comply with the following information security standards further outlined below:

### System Configuration & Maintenance

1. All operating Systems, servers, and network devices used for support or Confidential Information must be kept hardened and patched.
2. All Contractor Systems that are used to host, transfer, or otherwise interact with Confidential Information must enforce strict separation from third parties.
3. Contractors must maintain technical best security practices configuration guidelines for all such Systems and update them at least twice per year.
4. All security-related patches must be installed on Systems within 48 hours of their release. Contractor will maintain a testing lab in order to support this.

### Security Policies

1. Contractors must have information security policies that cover the following elements:
  - a. Data classification and privacy protection
  - b. Security training and awareness to prevent phishing, spoofing or other deceiving attempts.
  - c. Workstation management, mobile devices and antivirus
  - d. Backups, disaster recovery and business continuity
  - e. Regular audits and testing
  - f. Requirements for third-party business partners and contractors
  - g. Compliance with information security or privacy laws, rules, regulations or standards
2. Policy Requirements: In addition to addressing the elements set forth above:
  - a. Contractor must indicate in their policies the date of the most recent revision.
  - b. Contractor must include a certification and/or proof of documented revision
  - c. Contractor shall maintain compliance with such policies for the duration of the engagement

### Privacy & Confidentiality

1. The Contractor must hold Confidential Information in strict confidence and not disclose it to any third parties.
2. The Contractor shall use reasonable efforts to secure and defend any System housing Confidential Information against third parties who may seek to breach the security.
3. The Contractor shall protect and secure all Confidential Information in transit (collected, copied and moved) and at rest (stored on the physical servers), including during any electronic data transmission or electronic or physical media transfer.
4. The Contractor shall maintain all copies or reproductions of Confidential Information with the same security it maintains the originals. At the point in which the Confidential Information is no longer useful for its primary or retention purposes, Contractor must destroy such Data, making it unusable and unrecoverable.

## 8.4 Types of SAP Maintenance

The Contractor shall deliver four types of SAP maintenance: (a) **preventative**, (b) **corrective**, (c) **adaptive**, and (d) **perfective** maintenance, covered in each of the following sections. The following four maintenance items constitute the core of the application management services required in the scope of services.

#### 8.4.1 Preventative Maintenance

Preventative maintenance covers the first area of focus to ensure high system reliability and stability and business user satisfaction. It includes any active measures to ensure that incidents do not occur in the future.

Key activities for this work scope, include:

1. Updating and keeping process and data models current and reflective of the most recent systems changes.
2. Reviewing and revising data structures (models) to understand hidden nuances that may complicate future systems enhancements or report development.
3. Conducting structured root cause analysis for recurring problems to stop problems from happening.
4. Using or deploying automated maintenance tools, such as text editors, compilers and linkers, debugging tools, cross-reference generators, static code analyzers, configuration management repositories in or out of SAP's SolMan.
5. Devising data quality measures in conjunction with data owners or stewards.
6. Reviewing any manual data inputs as candidates for automation, such as daily, weekly, or monthly interest rate tables that are input into the system, e.g. to improve data quality.
7. Refactoring code to make it more extensible or more compact, e.g. or deleting obsolete code no longer needed by current business requirements.
8. Creating (or reusing) application support checklists to ensure key steps are not missed in any other support or maintenance activity.
9. Proactively reviewing documents, like functional or technical specifications as well as the code itself and commenting it out to build linkages to documentation.
10. Identifying the dependency chain within and among systems to understand single points of failure; documenting alternate or workaround solutions around those single points of failure to add to the Knowledge Base to avert crises when incidents do arise.
11. Creating workshops for new technical and support staff to ensure knowledge remains *lively* and *engaging* as well as *current* based on the aforementioned documents.

## 8.4.2 Corrective Maintenance

When an incident arises in the system, end users will submit a ticket using HFA's incident management system. First level (L1) support actions are governed by a series of support documents, guidelines and rules and will follow the following steps:

1. When creating an incident ticket, end users will be asked to provide a brief summary and details of the incident as well as some documentation and to submit to the Level 1 Support Team (the "Help Desk") via e-mail, phone call, or logging a ticket directly into the ticketing system. The selected Contractor shall not under create tickets. Instead, the business user shall be directed to the Help Desk who can help the business user to log a ticket.
2. The Level 1 Support Team shall log the ticket (if needed) or review the user-submitted ticket, acknowledge the incident, categorize it, prioritize it, and then conduct initial analysis, route the ticket appropriately, track the ticket, escalate appropriately and serve as the conduit for in- or outbound communications with the impacted business users and business units.
3. The Level 1 Support Team shall attempt to resolve the incident using Knowledge Base documents, including support scripts or FAQs according to industry standards (ITIL, e.g.).
4. If the Level 1 Support Team cannot resolve the incident, they must route the incident to the appropriate Level 2 Team (Offer to Cash or Procure to Pay teams, e.g.). The Level 1 and Level 2 Support Teams will collaborate to engage the impacted users and business units to help resolve the case and, once resolved, work to formally close the ticket.
5. On a routine basis, the L1 and L2 Teams should meet to update and revise documentation as part of their efforts to continuously improve the Knowledge Base and the goal of improving end user satisfaction with the system.

L1 Support Team's key activities for the work scope, include:

1. Logging all incoming incidents as tickets, if not already logged.
2. Classifying all tickets appropriately; grouping like tickets where possible.
3. Owning the logging process, including follow up, business unit communications, escalation, and closure of any L1 tickets.
4. Providing first-level resolution for incidents.
5. Creating user accounts or resetting passwords.
6. Serving as the single point of contact for business users and the escalation point for resolution along the L2 support pathway.
7. Communicating downtime and unexpected occurrences to HFA's IT Operations and Technical teams.
8. Carrying out daily, weekly, monthly and other regular reporting activities for performance management purposes, like key performance indicators ("KPIs"), e.g., established by HFA.

9. Providing L1 Support Team representation at operations roundtables to continuously improve L1 support, especially at the junctures with other teams and workstreams.
10. Coordinating with the L2 Support Team to identify recurring problems to downshift responsibility for incident resolution from the L2 Support Team to the L1 Support Team.

When the Level 1 Support Team cannot resolve the incident, they must escalate the incident to Level 2 Support Team. The Level 2 (“L2”) Support Teams will cover applications as listed in the table in Section 8.2 and the SAP business processes outlined in Appendix III. They will resolve tickets from the L1 Team or other escalation paths.

The L2 Support Teams’ key activities for the work scope, include:

1. Validating and categorizing support tickets.
2. Classifying and routing enhancement requests to the HFA IT Team for review.
3. Handling break-fix incidents and carrying out necessary system changes and workarounds.
4. Escalating any unresolved incidents which require greater intervention or support.
5. Providing roles and authorizations checks for system changes and minor enhancements as requested by HFA’s IT Operations Team.
6. Identifying system changes required for business process changes (configuration changes) and providing the solution to HFA.
7. Providing solutions for minor enhancements requiring less than 200 person-hours of effort per request and based on the business process owner’s and change control board approval.
8. Developing and testing system changes and minor enhancements by reviewing and documenting test cases; creating or updating or otherwise modifying test scripts and test data.
9. Documenting impacts of systems changes on training materials handled either as emergency releases or in the standard release cycle.
10. Performing root cause analysis (RCA) immediately following any major incident or problem. Root case analysis includes problem management, trend analysis, proactive identification of problem areas, and providing feedback to any upstream people or processes to avoid or stop any causes of incidents from happening again.
11. Providing 24 hours by 7 days a week operation monitoring services.
12. Working collaboratively with other HFA support organizations (third-party support teams) to resolve tickets involving any systems that interface with SAP.
13. Supporting compliance reviews and initiatives through SAP system configuration and updates and providing evidence from SAP or other systems. Ensuring that evidence is provided within audit timeframes and that such evidence is accurate and timely. In addition, L2 Support Teams should support and own audit remediation tasks resulting from any process deficiencies.

14. Release Management Compliance – all releases (emergency and routine) must comply with documentation and process standards.
15. Operations Compliance – all batch jobs and interfaces must be compliant with monitoring and documentation standards.
16. With help from the L1 Support Team, the L2 Support Teams will send reminders to business users who have open or unresolved tickets to help support speedy resolution of the incident by eliciting additional information from end users, as needed. After three reminders, if the person submitting the incident does not respond, the ticket should get escalated to HFA IT operations team.

Incidents may be converted into the change request depending efforts required for resolution. See the section 8.4 (d) on “Perfective Maintenance,” below, for work scope.

The Selected Proposer will perform an additional work scope item in supporting the HFA IT Operations and Monitoring Team which is responsible for monitoring SAP and non-SAP systems and ensuring that the in-scope SAP systems have minimal to no disruptions. The HFA IT Operations Team may also handle the resolution of incidents received from business or end users, L1 and L2 Support Teams. If the problem is not resolved within the timeframes set out for the severity of the ticket, then the vendor may need to provide additional support to the HFA IT Operations Team or third-party contractors with interfaces to SAP in order to close the incident.

#### 8.4.3 Adaptive Maintenance

The Contractor will provide primary and secondary levels of support including, but not limited to, troubleshooting, problem resolution, maintenance, enhancements, support pack and enhancement pack upgrade services for the SAP business processes outlined in Appendix III.

The Contractor will be responsible for technical problem determination and resolution of the applications and the related databases. If problem determination leads to the need for SAP patching/fixing of the SAP application or Oracle application (SAP kernel fixes, SAP application fixes from OSS notes, or Oracle executable fixes/patches), Contractor should inform the Agency and after approval from the Agency and install any SAP-supplied patches and/or fixes.

1. Support reverse proxy configuration for eThru application and other EP based applications, SAP Persona, SAP language support activation;
2. Migrate eThru application from Web Dynpro Java to Web Dynpro ABAP. The efforts required for this activity will be consumed from total man hours proposed in this RFP;
3. Configure Business Objects Business Intelligence Suite as per the requirement;
4. Assign at least one onsite Support Engineer. All SAP related queries should be addressed by the support Engineer. The seating arrangement and one desktop computer will be provided to the onsite consultant;
5. Give support for SAP application at the time of DR drill related activities;
6. Maintain using SAP Solution Manager the information for each service request including, but not limited to, problem description, start and end dates/times, actual or potential root cause(s), corrective action taken, and future action required;

7. Provide support/change control application where all the work orders from the Agency will be recorded, approved, tracked, and managed throughout the life cycle;
8. Develop and provide written Support requests troubleshooting procedures for the system and application environment;
9. Provide weekly/monthly (as requested by HFA) status reporting including, but not limited to, work orders analysis, actual hours usage, average cycle time, quality issues, and improvement recommendations;
10. Support shall be staffed between 8:30 AM - 5:30 PM Eastern Standard Time (New York);
11. Provide a problem escalation process to ensure urgent problems are resolved according to Service Level Agreement (“SLA”);
12. Provide a process to record after-hours problems for next day resolution;
13. Ensure that all software modifications and upgrades are deployed using the configuration management, documentation and integration and acceptance testing requirements as per each negotiated contract during the warranty period and licensing period;
14. Provide justifiable resources and timeframe estimates for software design, development, testing, and deployment of all application modifications and upgrade requests within the time frame established in the SLA;
15. Begin and end each application modification and upgrade effort within the timeframe established in the SLA;
16. Maintain source code version and release of software versions in accordance with the Agency’s configuration management standards;
17. Provide and maintain coding standards and quality control to ensure coding readability, performance, and sustainability;
18. Make proper resource arrangement to ensure support continuity during holiday seasons;
19. Support HFA as needed across all the applications;
20. Have a thorough understanding and experience with HCR’s current SAP landscapes, applications, policies, and procedures;
21. Bring SAP Enhancement Packs to its current version and thereafter it should be applied regularly by the Contractor as and when required;
22. Be responsible for maintaining all client systems (Development, Quality, Production etc.) in the SAP system landscape available at the Agency at no additional charge; and

Prior to the start of this engagement, the successful Proposer will be required to undergo a handover from the Agency’s existing implementation vendor for a duration not exceeding 30 days. The successful Proposer should highlight specific handover requirements, if any. The successful Proposer to note that the handover is expected to be conducted onsite. **HFA will not make any separate payment for the Knowledge Transfer transition phase.**

#### 8.4.4 Perfective Maintenance and Continuous Improvement

When a business user or business process owner (“BPO”) recognizes the potential for improved user experiences, process improvements, or improved data quality, through any change made to or in the system, they will log a ticket requesting the change as a change request (or “CR”). After some initial analysis, the CR will route to a change control board to assess the desirability of the change versus other factors, like cost. The Selected Proposer will help HFA to assess these CRs in advance of any change control process; categorize the CR appropriately; understand its impact on any customizations



(or “WRICEF”) and bring the CR for prioritization, including among other CRs, especially where a development sequence impacts the quality and speed of executing any particular system enhancement. In cases, where a clear sequence or batching of requests makes sense, the Selected Proposer will propose bundling these requests into a major release and update all appropriate documentation.

The Agency uses a change management strategy that will extend beyond the initial project phase and into the productive phase of its SAP implementation. The basic process is outlined below:

1. Business users shall propose enhancements to the system to better meet their needs using a change request form;
2. The change request form and log are the subject of periodic meetings to review and prioritize change requests and to approve or reject it for analysis conducted by a functional lead (the vendor will fulfill the role of conducting the functionality review for the proposed change);
3. The analysis of the change returns an estimate for the effort to complete functional analysis and update documents, like the functional specification; the development effort; the testing effort (including unit and regression testing) and the effort to update training documentation;
4. At the subsequent meeting, change control board reviews the effort estimate and can vote to approve a change for development or vote to move the change request into any other status category; and
5. The Selected Proposer will work, instruct, or perform the effort to update technical specifications and training documentation or materials as well as any changes to the functional specification.
6. The Selected Proposer will develop the systems per specifications.
7. The Selected Proposer will test the system using string or unit testing methodologies and then regression testing before turning the enhancement over to the business users for acceptance testing.

The work scope for perfective maintenance includes:

1. Helping to develop and refine the application strategy for HFA;
2. Conducting planning and analysis;
3. Gathering and defining business requirements, if needed;
4. Documenting functional design and technical specifications;
5. Updating the Business Process Master List (“**BPML**”) and other documents.
6. Proposing test cases or test data required for the enhancement to HFA;
7. Programming and coding any enhancements according to SAP best practices;
8. Unit, string and integration testing;
9. Updating or creating regression test scripts;
10. Conducting or managing user acceptance testing;
11. Documenting defects resulting from any test method or cycle;
12. Conducting any data migration;
13. Migrating code through environments according to best practices;
14. Managing software configuration;
15. Tracking application changes; and
16. Updating or producing training materials and knowledge transfer.
17. Warranty or guarantee the functionality;
18. Package the enhancements into releases; release management;

- 19. Support the new functionality from a technical and business angle; and
- 20. Monitor, report and review the new functionality.

The Selected Proposer will use the following tools for testing services unless they propose to migrate testing services to a new tool, like SolMan:

<b>Tool</b>	<b>Purpose</b>	<b>In-Scope Work</b>	<b>Deliverables</b>
MicroFocus Applications Lifecycle Management (“ALM”)	<ul style="list-style-type: none"> <li>• Test management and reporting</li> <li>• Test requirement management</li> <li>• Test case repository</li> <li>• Test traceability to requirements</li> <li>• Test result reporting</li> <li>• Defect management and reporting</li> <li>• Dashboards</li> </ul>	<ul style="list-style-type: none"> <li>• Update test data sheets</li> <li>• Prepare test sets and assign test cycle for each release</li> <li>• Execute automated test scripts for AMS release cycle</li> <li>• Manage defects through ALM</li> <li>• Prepare weekly report of automated test execution</li> </ul>	<ul style="list-style-type: none"> <li>• Automated test execution results in ALM</li> <li>• Defect reports in ALM</li> <li>• Weekly execution status reports</li> </ul>
TBD	<ul style="list-style-type: none"> <li>• Functional test automation</li> </ul>	<ul style="list-style-type: none"> <li>• Planning, managing and reporting on automation</li> <li>• Understanding the applications landscape and conducting feasibility analysis to identify candidate test scripts for automation; prioritizing them</li> <li>• Enhancing the existing automation framework</li> <li>• Coordinating with test administrators to ensure tool and environment readiness for test automation</li> <li>• Create automated test scripts</li> <li>• Update or modify existing automated test scripts to reflect changes in the applications.</li> </ul>	<ul style="list-style-type: none"> <li>• Test automation plan</li> <li>• Automated test scripts</li> <li>• Automation status report</li> </ul>

The Selected Proposer will be expected to coordinate the following activities, in conjunction with Agency personnel:

- Disaster recovery testing
- System refresh testing
- Performance testing
- Migration of test scripts from one tool to another.

## **9. Worksite, Work Hours, Delivery Structure and Estimated Workloads**

### **9.1 Worksite and Work Hours and Security Requirements**

The managed services in scope for this RFP cover a user base located almost exclusively in New York City, with some staff in Albany, Buffalo and Syracuse. The main worksite is located at 641 Lexington Avenue, New York NY 10022 in close proximity to major transit hubs to local airports and railway connections. The Selected Proposer must be able to demonstrate its capacity to operate remotely at optimal levels when needed, as further demonstrated in Section 9.5.1 of this RFP.

Work hours for the organization begin at 8:00 AM until 6:00 PM Eastern Time in New York from Monday through Friday. HFA observes all major federal and state holidays for its employees.

On and around the first business day of each month, HFA disburses construction loans and requires a high degree of accuracy and support during the first few months after go-live to ensure high-value transactions are executed correctly and accurately.

The Selected Proposer will adhere to all HFA information technology security policies at all times.

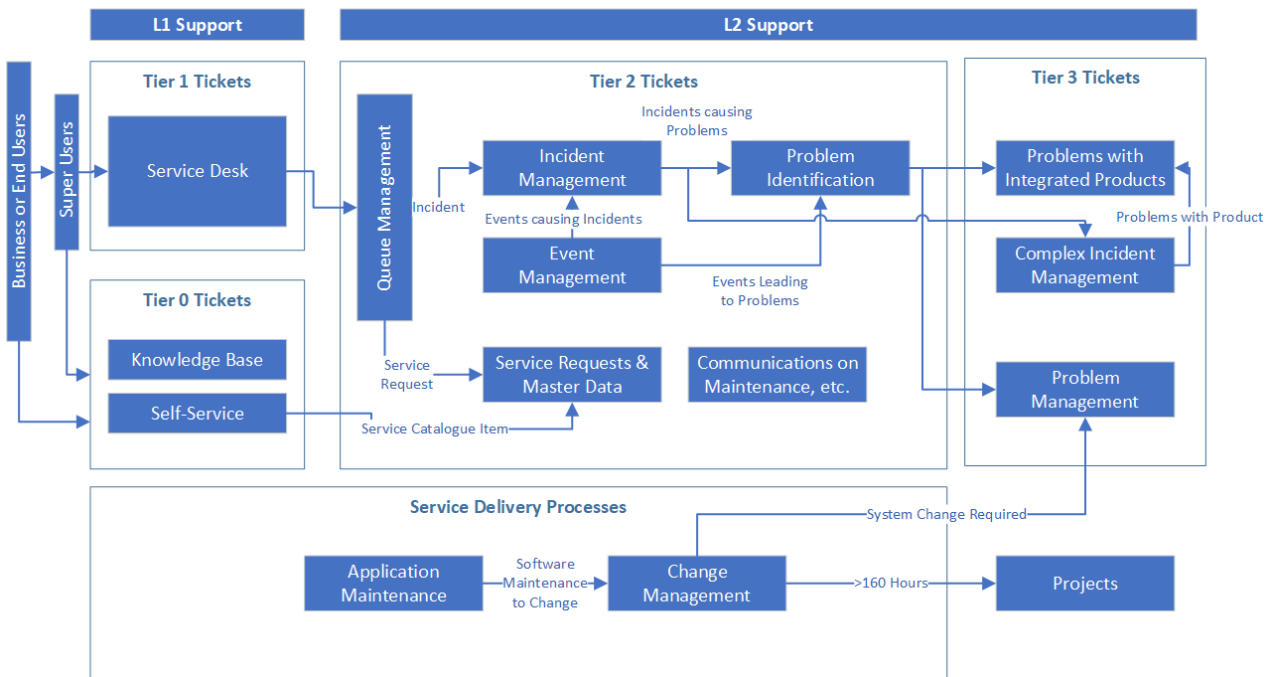
### **9.2 Coordination with other Systems, New York State Agencies or Business Partners**

The Selected Proposer will be required to coordinate and work with other entities and agencies in addition to with HFA and its Affiliates underneath the HCR umbrella. Other systems, entities and agencies may include but are not limited to:

1. Systems
  - a. ProLinkHFA – a multifamily loan origination and grants management and tracking applications
  - b. ADP – a payroll application
  - c. LATS – a time keeping system
  - d. Bloomberg Terminal and plugins
  - e. Other applications
2. Interfaces
  - a. ADP
  - b. LATS (a time keeping system)
  - c. The Municipal Securities Rulemaking Board (MSRB) EMMA
  - d. Bloomberg Terminal and plugins
  - e. Other applications

3. Other Agencies
  - a. New York State Department of Tax and Finance
  - b. Empire State Development
  - c. New York State Office of the State Controller
  - d. Authorities Budget Office
  - e. Internal auditors
4. Business Partners
  - a. Banking and investment partners of the Agency
  - b. External auditors

### 9.3 Delivery Structure



#### 9.3.1 Estimated Work Volumes

It is hard to anticipate ticket volumes for this greenfield implementation; however, these estimates reflect some extrapolation from the user base metrics, however, such volumes are not guaranteed and subject to change at the discretion of the Agency.

**Table 1. Anticipated Ticket Volumes per Month**

Ticket Tier	Estimated Ticket Volume per Month
Tier 1 (Low)	300 Tickets
Tier 2 (Medium)	200 Tickets

Tier 3 (High)	50 Tickets
Tier 4 (Critical)	25 Tickets

**Table 2. Anticipated Corrective, Adaptive or Preventative Tickets by Priority**

Priority Level	Indicative % Distribution
Critical or High	0% - 13%
Medium	5% - 34%
Low	15% - 52%

**Table 3. Anticipated Perfective Maintenance Ticket Volume**

Functional Area	Monthly Ticket Volume	Total Hours to Deliver*
Hire-to-Retire	3 or fewer	100 hours
Procure-to-Pay	3 or fewer	100 hours
Offer-to-Cash – Debt	5 or fewer	200 hours
Offer-to-Cash – Loans	5 or fewer	200 hours
Cash-to-Invest	3 or fewer	200 hours
Technical/Other	5 or fewer	200 hours

\*Hours to delivery includes functional, development, testing and training hours.

### 9.3.2 User Base Metrics

**Table 4. Total User Base**

System	Metric	Total Users
S/4HANA (1610)	Total User Base	250

**Table 5. Total User Base by System**

System	Metric	Total Users
SRM	Total User Base	50
CML	Total User Base	15
TRM	Total User Base	20
FICO	Total User Base	15
HCM	Total User Base	10

Travel	Total User Base	200
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## 9.4 Performance Management

This subsection includes Performance Management services. Refer to the Service Level matrix in Section 9.6 of this RFP and Schedule 3.4 of the MSA.

### 9.4.1 SLA Service Management Portal (Solution Manager)

Solution Manager will be used as SLA Performance Service Management Portal to deliver SAP Support. The Contractor shall configure Solution Manager in such way that user can log incident tickets and change requests, view events/schedule of change/key contract dates, share documentation, interact with staff, receive SAP updates/patches/fixes and collaborate on any aspect of the service being delivered. SLAs shall be measured on a different bases including daily, weekly and monthly bases.

The Contractor's Project Manager shall submit to HFA in the first week of the calendar month, a performance report, which shall document the performance with respect to the service levels during the previous month, including agreed upon metrics on tickets/issues. These reports will form the basis for the quarterly reviews for the service level metrics and for additions or changes to the schedule.

The Contractor shall achieve the following objectives with respect to the Solution Manager Framework:

1. System Configuration Management:
  - a. Parameter Changes;
  - b. Change Validation;
  - c. Transport Management (Prerequisite for ChaRM); and
  - d. SAP Gateways and Interfaces.
  
2. Operations Management:
  - a. System Performance;
  - b. Technical Monitoring (Stand alone and via SolMan);
  - c. Integration Monitoring;
  - d. Root-Cause-Analysis for every incident, with a preventive statement if possible;
  - e. SAP Security;
  - f. Vulnerability Management;
  - g. Security Patching;
  - h. Configuration Validation;
  - i. Certificate Management;
  - j. Improvement of authentication and security audit workflows;
  - k. Canned and Ad-Hoc Audit Reports; and
  - l. Segregation of Duties Reports.
  
3. System Recommendations:
  - a. Patch Identification;
  - b. Patch Evaluation;

- c. Security Optimization Services; and
  - d. Business Process Change Analyzer – Identification of impact and testing scope (for any changes).
4. SAP Governance:
    - a. Policies and Procedures;
    - b. Reporting and Monitoring;
    - c. Risk Management Framework; and
    - d. Roles and Responsibilities.
  5. Landscape Management Strategy

## 9.5 Service Availability

1. The working hours of service availability are from Mondays through Fridays from 8:00 am to 6:00 pm Eastern Standard Time (New York) but for scheduled activities (Basis activities, disaster recovery drill, server maintenance, etc.), the Contractor will be expected to extend support services beyond normal working hours to include nights and weekends when needed;
2. Solution Manager will be available 24 hours a day, seven days per week and 365 days per year (excluding planned maintenance);
3. Incident tickets can be logged at any time via Solution Manager; and
4. Change requests that can be logged at any time via Solution Manager.

### Incident Management

Change management is for planned changes or scheduled for a future point in time. When creating a Change Request within the Solution Manager, the user will be asked to provide a brief summary, details of the change, the requested change window and any details of pre-testing or post-testing (if applicable). Once a Change Request has been logged, it will appear on the ‘Change Requests’ tab in the customer’s group within the Solution Manager. The Change Request can be edited by both the Agency and the Contractor, and comments added to it for progress/status updates. The Change Request is categorized as follows:

1. New Report/Interface/Business Process Development, Existing Report/ Interface/ Business Process Modification, Addition of columns, rows, New/Existing SmartForms creation, etc.
2. Major Basis Configuration updating, Enhancement, Business partner onboarding, Customizations, etc.

The Change Request type will be resolved as per the agreed timeline between the Agency and the Contractor. The efforts required for each change request will be consumed from total man hours proposed in this RFP. Every Change Request that is not resolved within the agreed timeline will be considered as breach of SLA attaching penalty remedies pursuant to the terms of the MSA.

- The Contractor shall provide methodologies and tools to demonstrate ability to meet the performance requirements stated in the proposed contractual SLA(s);
- The Contractor shall develop procedures and tools for performance measurements including, but not limited to, the following:



- i. Quality of work: defect rate or re-work rate;
  - ii. Response time;
  - iii. Service fulfillment rate; and
  - iv. User Satisfaction (with the Contractor)
- Response Time: Response time refers to how quickly support team will acknowledge with solution to an issue being raised in Solution Manager, email or other methods with subsequent status updates in Solution Manager;
- Resolution Times: A resolution time refers to how long it takes from the time an issue is logged until it is fully resolved;
- All times are from the beginning of the occurrence of the event. In an emergency situation, a response is required in one hour’s time from the occurrence of the event. A solution has to be provided within one day of the event, and the problem must be resolved within one day of the occurrence of the event; and
- Proposed Service level Summary.

### 9.5.1 Business Continuity

The Selected Proposer will help HFA and its Affiliates elaborate, test and refine business continuity plans to ensure remote work when needed or alternate processes in case of other integrated systems’ unavailability to ensure critical processes and functions can be executed in a timely and error-free way.

#### 9.5.1.1 Disaster Recovery

The Agency’s disaster recovery (“**DR**”) site is Amazon Web Services (“**AWS**”). The Contractor is expected to provide SAP Support at the disaster recovery site, if needed, with 24 hours’ notice. HCR users should be able to access the DR site smoothly in case of disaster to ensure business continuity. Below are the applicable roles and responsibilities:

Unit or Role Name	Organization	Role Description
Help Desk	HFA	Record incidents and service requests using the Agency’s help desk tools.
Chief Technology Officer or Chief Information Officer	HFA	Provide leadership for application management strategy

## 9.6 Service Level Requirements and Reporting

All Service Level Agreements (SLA) shall take the standard work hours for the Agency as the denominator for calculating percentages for application performance metrics (application uptime, e.g.). The following Service Levels are standard options, will apply for the service as defined in the applicable Scope Document and are based on the following definition for priorities:

### 9.6.1 Ticket Priorities

The following priority levels (Ticket Priorities) apply to all Tickets (such priority to be assigned by Customer and may be re-assigned by the AMS Provider based on the criteria below and acting reasonably):

Severity Level	Description	Initial RT	Resolution Timeframe
Critical Business Impact	Complete degradation. All users and/or all critical functions are affected and the Services is generally unavailable. has very serious consequences for normal business processes or IT processes related to core business processes, and urgent work cannot be performed. Examples of criticality are: A production system is down; core business processes are seriously affected.	1 h	Full-time attention (24/7) to the incident until a solution or a correction is implemented or a fully functional workaround is provided. Target timeframe for the start of work on the issue after acknowledgment is one hour. Target timeframe for provision of a correction after the initial response is 4 hours.
High	Significant degradation. A large number of users and/or critical functions are affected. Necessary tasks cannot be performed. This is caused by incorrect or inoperable functions in the PRD or QAS or DEV system that are required immediately. The Incident is to be processed as soon as possible because a continuing malfunction can seriously disrupt the entire productive business flow and become a critical issue.	4 h	Full-time attention (24/7) to the incident until a solution or a correction is implemented or a fully functional workaround is provided. Target timeframe for the start of work on the issue after acknowledgment is four hours. Target timeframe for provision of a correction after the initial response is 8 hours.
Medium	Limited degradation. A limited number of users and/or functions are affected. The problem is caused by an incorrect or inoperable function in the PRD QAS, or DEV system.	4h (M-F)	Target timeframe until a provision of a correction or workaround after acknowledgment is provided: 24 hours after acknowledgment.
Low	Small degradation. A few users and/or functions are affected or seldom affected; the issue has little or no effect on normal business processes and/or there are existing workarounds.	1 day (M-F)	Timeframe until a provision a correction or workaround after acknowledgment is provided: two days after acknowledgment.

## 10. Intent to Submit Bid Response

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Prospective Proposers meeting or exceeding the Minimum Qualifications in Section 7 of this RFP are strongly encouraged to complete and submit the “*Intent to Submit Bid*” form by the deadline required in the Calendar of Events and Milestones Section of this RFP, attached hereto as Attachment 1, to Lisa G. Pagnozzi at [Lisa.Pagnozzi@nyshcr.org](mailto:Lisa.Pagnozzi@nyshcr.org).

## 11. Proposal Requirements

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Proposals must be complete and prepared in a format consistent with the instructions provided in this RFP. In all instances, the Agency’s determination regarding a proposal will be final. Proposals not organized in the manner prescribed in this RFP may be considered non-responsive at the Agency’s sole discretion. Firms should not refer to other parts of the proposal, to information that may be publicly available elsewhere, or to the Firm’s or other websites in lieu of answering a specific question.

## 11.1 Proposal Submission Requirements

Proposals must be delivered by email no later than the proposal due date and time indicated in the “*Calendar of Events and Milestones*” section of this RFP.

Proposals must be submitted by email to [nyhomes.proposal@nyshcr.org](mailto:nyhomes.proposal@nyshcr.org) in searchable portable document format (“**PDF**”). The Agency **will not accept** discs, flash drives, or FTP file references that require the Agency to download information from the site of the Firm or a third party.

The proposal must be bookmarked and divided into five parts: (i) Tab One: Application Cover Sheet and Cover Letter; (ii) Tab Two: Mandatory Minimum Qualifications; (iii) Tab Three: Technical Proposal; (iii) Tab Four: Cost Proposal; (iv) Tab Five: Administrative Proposal; and (v) Tab Six: Diversity and SDVOB Proposal. Proposals must be sent in two emails and labeled as follows: (a) one email to include Tabs One, Two and Three and the subject line of the email must be labeled: “2020 Technical AMS Tabs 1, 2 and 3”; and (b) the other email must include Tabs Four, Five and 6 and the subject line of the email must be labeled “2020 Technical AMS Tabs 4, 5 and 6”. If the file is large, it may be submitted in multiple email attachments, with the proper Part One or Part Two label (if applicable) and “1 of X”, “2 of X”, etc., and the last email as “X of X – Final” for each additional email.

Any proposal delivered after the date and time designated as the proposal submission deadline listed in the “*Calendar of Events and Milestones*” section of this RFP may be deemed ineligible. It is the Firm’s sole responsibility to ensure that all emails and attachments are delivered on time in a legible format. Firms assume all risk for proposal delivery.

A proposal may be deemed to be non-responsive because it is materially incomplete. The Agency reserves the right to seek clarification or request additional information.

The determination of whether any proposal is complete or was received on time is at the sole discretion of the Agency.

All submitted proposals shall become the property of the Agency.

## 12. Contents of Proposals

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The Firm must submit a proposal that clearly provides all the information required in this RFP. Emphasis should be made on conformance to the RFP instructions, responsiveness to the RFP requirements, and clarity of content. The Firm is advised to thoroughly read and follow all instructions contained in this RFP. Proposals that do not comply with these instructions, or do not meet the full intent of all the requirements of this RFP may be subject to scoring reductions during the evaluation process or may be deemed non-responsive.

The Agency does not require, nor desire, any promotional material that does not specifically address the response requirements of this RFP.

Proposals should demonstrate that the Firm is qualified to perform the Scope of Work based upon prior relevant professional experience. An Agency review committee will conduct a comprehensive review of each proposal.

Each Firm is required to submit the information and documentation listed below in the order in which it is requested. A proposal that does not include all required information and completed forms may be subject to rejection.

The completed proposal will include Tabs One through Six, as described in the Proposal Submission Requirements section of this RFP. Each Tab must be electronically bookmarked as “Tab 1,” “Tab 2,” “Tab 3,” “Tab 4,” “Tab 5” and “Tab 6” and must be presented in the exact order requested in this RFP. The content in Tab 2 must be limited to twenty (20) letter-size pages (double spaced, minimum 12-point font, and at least one-inch margins). The twenty-page limit in Tab 3 does not include resumes, references, organizational chart, etc.

The Firm’s proposal should address the items listed below.

## **12.1 TAB 1: Cover Letter**

The Firm’s cover letter must not exceed three (3) pages and should include:

1. The Firm’s name, address, telephone number, fax number, email address and web site address, if applicable;
2. The name, title, telephone number, fax number and email address of the individual within the Firm’s organization who will be the Agency’s’ primary contact concerning the proposal;
3. A summary of the Firm’s organizational history and legal structure (e.g. corporation, evidence of MWBE and/or SDVOB certification status, etc.), including any changes with the Firm’s legal structure within the past five years;
4. Indicate the size of your company (total headcount) and the breakdown between W-2 employees versus 1099 contractors (making up total headcount) and the retention rate or turnover rate for each of the last three years.
5. A written statement detailing that the Firm meets the Minimum Qualifications specified in Section 7 of the RFP;
6. A statement affirming the number of years that the Firm or its principals have provided Application Management services;
7. The name(s) of the primary staff who will provide services to the Agency; and

8. A written certification confirming that the information contained in the proposal is true and accurate and that the person signing the cover letter is authorized to submit the proposal on behalf of the Firm.

## **12.2 TAB 1: Mandatory Minimum Qualifications – Attachment 2**

Proposers must be able to demonstrate that they meet or exceed each of the Mandatory Minimum Qualifications cited in Section 8 of this RFP. Proposers must provide this information in a format consistent with TAB 1 – Attachment 2, which must be submitted with each Proposal Submission.

### **TAB 2: Technical Proposal**

This section of the RFP provides instructions to the Proposer regarding information that is to be included in the Technical Proposal. Proposals must be complete, factual and as detailed as necessary to allow the Agency to adequately evaluate capabilities and experience.

The purpose of the Technical Proposal is to provide the Proposer an opportunity to demonstrate its qualifications, experience and competence to undertake the Scope of Work described in Section 8 herein, in a manner which complies with the requirements of this RFP. Proposals should specifically detail a Proposer's qualifications and experience in providing services sought by the Agency (including the experience of its subcontractor(s), if applicable). The proposal must include responses to the items listed below.

#### Company Overview

1. Briefly describe your Firm's qualifications to provide Application Management Services and demonstrate experience and competence to undertake the Scope of Work described herein (refer to Section 8 herein).
2. Describe in detail how your Firm meets the Preferred Experience and Qualifications outlined in Section 8.1 of this RFP. Include the cited certifications and identify the principals and the key personnel who would be primarily responsible for providing AMS to the Agency and include resumes of such staff person.
3. Briefly describe experience of your Firm or principal(s) as an AMS provider during the last five years, specifying experience that relates to the Scope of Work described in Section 8 herein.
4. Initial Transition Plan - please describe the initial transition timeframe in detail, in which the AMS team lands on day one and transitions to steady state operations and such detail to include, but not limited to:
  - a. A Microsoft Project Plan Summary;

- b. Description of the tools, templates, standard procedures, and innovations to be used during transition and why they are effective; and
  - c. Description of Team-building strategy, a critical transition activity for this Project.
5. Transition Staffing Matrix – Proposers must provide a matrix for the functional resources that will accomplish predicted work. Proposers are to review the Transition tasks in this RFP and the Business Applications Modernization Project Process Inventory in Appendix III to propose how the Selected Proposer will staff the assets with skilled resources. This matrix is to include the named key resources, their role, when these key resources will start, and the process for ramping up resources during the transition period.
6. List three clients with similar engagements to those described in the Scope of Work, Section 8 herein, that your Firm has been a provider of AMS within the last five years, indicating the following information for each client:
  - (i) Name of client;
  - (ii) Type of client (e.g., government entity [local, state, federal], private company, etc.;
  - (iii) Project description, project dates and services provided; and
  - (iv) Any other information regarding the engagement that would assist the Agency in determining the success experienced by the client.

If your Firm has done business with the Agency, list the scope of services provided, Agency name, contract value and indicate if any problems have occurred and how they were resolved.

7. If subcontracting with a MWBE or SDVOB, describe the types of tasks to be subcontracted and how the prime contractor plans to manage the subcontractor.
8. Discuss your Firm's presence in New York State including offices maintained in the State.
9. Provide Firm's technical capabilities, including systems used to meet processing and reporting requirements of bond issues and on-line access to account information.
10. Provide a minimum of two client references of the Firm's engagements in subsection 5, above, and least two references for any subcontractors. Each reference should include the name, title, telephone number and email address for each contact person that can speak with authority for each engagement. Include a brief summary of the relationship between the reference and the Firm.

**Information provided by references may be used by the Agency in the evaluation of Firm's proposal. The Agency is not responsible for the degree of or lack of responsiveness of the references listed by a Firm or its subcontractor(s).**

9. Staffing Plan – Proposers shall provide a detailed plan on the staffing that will be engaged with the Agency. This plan shall describe the type, training, and experience of people by function and their location. The Selected Proposer shall have all defined staff engaged with the Agency relative to this contract and shall provide a listing of the engaged staff by name and include their role and a summary of their level of expertise.
10. Training Plan - Proposers shall provide a plan that describes the ongoing training efforts that will be in place that allows the Proposer’s staff to remain current in the relevant technologies and to remain certified as needed to provide the services described within this RFP and resulting contract. Proposers shall provide to their staff and the Agency the required and identified training to make the transition successful. A training report will be provided to the Agency’s Project Manager listing the training and the attending or registered students.
11. Demonstrate your Firm’s experience with the SAP cloud environment as follows:
  - a. Familiarity with the SAP Cloud environment;
  - b. Knowledge of Enable Now in the Cloud (with Web and Desktop Assistant);
  - c. Cloud-based Enterprise e-Learning Content for User Guidance, User Training, the improvement of user adoption and software usage efficiency;
  - d. Creation, update and configuration of knowledge repository content;
  - e. SAP Cloud Portal Services experience for Fiori Development (currently used); and
  - f. SAP Cloud Migration knowledge (for future planning).
12. Provide a detailed Statement (to be attached to the resultant MSA) which outlines your Firm’s approach to undertaking the Application Development, Enhancement Services and Application Maintenance Services, which addresses the questions outlined in the subsections below:
13. **PROJECT APPROACH TO APPLICATION DEVELOPMENT AND ENHANCEMENT SERVICES.**

Provide a description of the proposed approach/methodology that you will follow, along with a project plan and realistic timeline that identifies the phases and tasks required to complete the services defined in the Scope of Services section of the RFP. Include in this section the deliverables and reports that will be provided, the project controls that will be used, and the tasks that will be performed. Provide a description of all deliverables that you will provide as an output of the project plan. Provide relevant samples of deliverables and project plans from similar services that your firm was primarily responsible for producing. More specifically, please provide responses to the following questions:

**a. Application Strategy.**

What steps will be taken to limit new customizations and optimize implementation for upgrade from 1610 to the next release? Provide a detailed response of your Firm’s process relating to enhancements.

b. **Planning and Analysis.**

How is planning and analysis conducted for enhancements? How are enhancements deployed in release cycles?

c. **Requirements Definition.**

How is the existing documentation leveraged as a baseline to help define new requirements?

d. **Design Specifications.**

Explain how new functionality and document differing options are designed to help business units understand the advantages and disadvantages of any option?

e. **Programming.**

How is new code developed, reviewed and tested to support new enhancements to the system using industry standards?

f. **Integration and Testing.**

How do you run integration test tools and automated scripts to ensure regression testing meets industry standards?

g. **Implementation and Data Migration.**

Explain the process of how data is converted and migrated (if needed due to any enhancements).

h. **Code Migration.**

How are transports managed throughout the SAP system landscape using ChaRM?

i. **Software Configuration Management.**

How are configurations managed using best practices and industry standards? Software Configuration Management. Describe the steps that are taken to manage change.

k. **Training and Knowledge Transfer.**

How is training approached (within the technical team) and is existing training documentation updated? How is knowledge transferred to HCR's employees and IT team?

14. **PROPOSER'S PROJECT PLAN AND APPROACH FOR APPLICATION MAINTENANCE SERVICES.**



The Proposer must submit a project plan for routine/adaptive/preventative maintenance with frequency or scheduling and the ‘push’ or ‘pull’ triggers for each maintenance activity. For each of the following subsections below, the Proposer must respond to the questions.

**a. Corrective Maintenance.**

The Proposer must provide an outline which includes a list of routine, adaptive and preventative maintenance which must include incident categories and incident priority fields. Workflow (process automation) is required for tickets to be properly managed and tracked through the system. (Refer to Section 8.4.a.)

Proposer shall response to the following questions:

1. What is your Firm’s approach for corrective maintenance resulting from incidents logged or reported by end users?
2. How is Solution Manager (SolMan) utilized to help manage corrective maintenance?

Proposer to provide methodologies and tools to demonstrate ability to meet the performance requirements stated in the proposed SLA(s), an attachment to the MSA, Appendix V of this RFP.

Proposer to provide an outline of procedures and tools for performance measurements including, but not limited to, the following:

- i. Quality of work: defect rate or re-work rate;
- ii. Response time;
- iii. Service fulfillment rate; and
- iv. User Satisfaction (with the Contractor)

Proposer to provide a proposed Service level that complies with the Service Level provisions outlined in Schedule 3.4 of the Master Services Agreement, attached hereto as Appendix V.

**b. Adaptive Maintenance**

Proposers must define their approach to applying patches and updates, including outlining the Proposer’s strategy for implementing:

- i. a weekly Release Strategy for each sub-system or module to ensure all high-risk SAP Notes, Patches and Security Updates are applied in a scheduled window ensuring the stability and data protection;
- ii. a plan as to how they will keep pace with the frequent release of updates and patches; and
- iii. a plan as to how they will identify relevant patches, evaluate patches, and use the Business Process Change Analyzer.

**c. Preventative Maintenance**

Proposers must define and provide an outline of their plan and methodology relating to:

- i. revising and updating the SAP Solution Monitoring system ensuring the thresholds on alerts on the Operative System, Application Layer, Database Layer, Interfaces, Jobs, and workflows;
- ii. performing system stand-alone and Solution Manager Based monitoring to ensure system performance and early detection of degradation;
- iii. performing system vulnerability checks to minimize exposure of confidential data or attempts of sabotage; and
- iv. monthly reporting through the SAP Early Watch Alert diagnosis monitors solution for both productive and non-productive system.

**d. Perfective Maintenance**

Proposer to provide recommendations to improve the Agency's Change Management Strategy. (Refer to Section 8.4.1.d herein)

**15. Application Warranty Services.**

Proposer must outline their approach to warranting its work under the contract resulting from this RFP process.

**16. Release Packaging.**

Proposer must provide an outline of their approach to release packaging for enhancements to the system and the release notes for the training or change management teams.

**17. Technical and End-User Support.**

Proposer must provide an outline of their approach to technical and end-user support.

**18. Monitoring, Reporting and Review Services.**

Proposers must provide an outline their process for the monitoring, reporting and review of the following maintenance categories relative to the SAP business processes as described in Appendix III:

- a. Corrective Maintenance in response to incidents;
- b. Adaptive Maintenance in response to known issues;
- c. Preventive Maintenance in response to upgrades and patches;
- d. Perfective Maintenance in response to change requests to enhance the system to better meet business needs; and
- e. Release management.

19. **Performance Management.**

Proposer must provide a description of their approach to service management which align with the service levels requirements outlined in the Master Services Agreement, attached hereto as Appendix V.

20. **Master Services Agreement (including the Service Level Agreement).**

Proposers must provide comments, in Word Format, if any, to the MSA, attached hereto as Appendix V, including the Service Level Agreement (SLA). The SLA provisions are outlined in Schedule 3.4 of Appendix V (Service Level Matrix).

### **13.3 TAB 3: Cost Proposal**

All Prospective Proposers must complete and submit a signed Cost Proposal, attached hereto as TAB 3. Proposers should direct in writing to the Agency, any questions about whether a cost or other component is included or applies prior to the specified Deadline for RFP Questions. All Proposers will then have the benefit of the Agency's written answer so that all proposals are submitted on the same basis.

The Proposer must complete the Cost Proposal to calculate the total fixed pricing for the SAP Technical and Application Management services under the proposed engagement, with the exception of new customizations not included as part of the WRICEFS (perfective maintenance).

In addition to the base term (fixed price), the Proposer must complete the Rate Card identifying the functional resources by position and average loaded rate for those resources for perfective maintenance which includes new and additional system enhancement/development/support that at present cannot be scoped and would be above and beyond the base pay. Based on the Rate Card, additional Work Orders (WO) relating to future enhancements and change orders under this contract resulting from this RFP. Any costs not provided in the cost proposal will be assumed as no charge to the Agency.

Complete the Cost Proposal, attached hereto as TAB 3, that includes a schedule of all charges associated with the Scope of Work. Although proposed fees will be considered, the Agency reserves the right to negotiate a lower or different fee structure with selected Firm.

The Cost proposal must contain the following elements:

- a. Monthly AMS Support (Fixed Costs). Proposer must include costs relating to proposed resource staffing and any other costs to provide ongoing, steady state SAP AMS. Proposer must include costs for customization and enhancements related to the WRICEFS outlined in Appendix IV of the RFP. Proposer's proposal should cover all services specified in the Scope of Services of the RFP, with the exception of perfective maintenance for new customizations and enhancements.
- b. Hourly Rates for Perfective Maintenance for New Customizations and Enhancements Outside of the WRICEFS in Appendix IV. Proposers must complete the Rate Card identifying the functional resources by position and average loaded rate for those

resources for additional system enhancement/development/support (does not include existing WRICEFS) that at present cannot be scoped and would be above and beyond the Monthly SAP AMS cost noted above. Based on the Rate Card, additional Work Orders (WO) relating to future enhancements and change orders under this contract resulting from this RFP. Any costs not provided in the cost proposal will be assumed as no charge to the Agency.

- c. Identify the physical location of the support personnel, such as Onsite in New York City, US-based, but Offsite or Offshore. The Agency expects that US-Based and Offshore personnel will travel to New York City as required, at no additional cost to the Agency.
- d. Identify the use of Full Time Equivalent (FTE) and Shared Service personnel for each title.
- e. The Agency seeks an all-inclusive price structure. All fixed and hourly Rates in the Cost Proposal shall include all overhead costs including but not limited to: insurance, personal services, fringe benefits, transportation costs, lodging, meals, taxis, rental cars and other expenses related to travel of any distance, and all auxiliary services such as printing, postage, copying, etc. The HCR Travel Policy will be made available upon request.

The Selected Proposer shall only perform work on the Contract after the Effective Date is affixed and the fully executed contract sent to the selected Proposer. The Agency shall issue a written Notice of Award to the Selected Proposer authorizing the work to begin on a date which is on or after the Effective Date. The Selected Proposer shall not start the performance of any work prior to the date set forth in the Notice of Award and the Agency shall not be liable to pay the selected Proposer for any service or work performed or expenses incurred before the date set forth in the Notice of Award. No Agency employee has the authority to verbally direct the commencement of any work under the Contract.

#### **13.4 TAB 4: Administrative Proposal**

Firms are subject to the requirements described in the [\*Agencies' Standard Clauses and Requirements for Solicitations\*](#), hyperlinked herein as Exhibit A. Such requirements include, but are not limited to, submission of the following information and forms outlined in the Administrative Proposal in the Proposal Checklist Section of this RFP: (a) [\*Lobbying Procurement Law FORM 1\*](#) and [\*Lobbying Procurement Law FORM 2\*](#); (b) [\*Non-Collusive Bidding Certification FORM\*](#); (c) [\*Vendor Information FORM\*](#); (d) [\*Vendor Responsibility Questionnaire for For-Profit Business Entity\*](#); and (e) [\*Vendor Assurance of No Conflict of Interest or Detrimental Effect\*](#).

In addition to completion of the forms hyperlinked in the paragraph above, Firms must provide all other information indicated in this Section for Tab 4.

### 13.4.1 Insurance

The successful Firm(s) (“**Contractor(s)**”) and its subcontractor(s), if any, are required to provide and maintain, at its (their) sole cost and expense, the insurance requirements at the minimum limits specified herein during the term of the contract and for two (2) years after completion of work. All required insurance policies shall be maintained with insurance companies licensed within the State of New York and holding an AM Best rating of no less than A- VIII. Said policies shall contain a provision that coverage will not be canceled, non-renewed or materially changed, until at least thirty (30) days’ prior written notice has been provided to the Agency. The New York State Housing Finance Agency and any and all other parties-in-interest as the Agency may designate in writing from time to time (collectively, the “**Additional Insureds**”), all as their interests may appear, shall be named as additional insureds. Contractor (and its subcontractor(s), if any) agrees to have included in each of the above policies for Contractor’s Parties, a waiver of the insurer’s right of subrogation against the Additional Insureds.

The Contractor (and its subcontractor(s), if any) shall furnish to the Agency evidence of the following insurance requirements prior to execution of awarded Contract:

a. Workers’ Compensation Documentation. The Contractor will be required to provide the Agency with written evidence of their workers’ compensation insurance coverage utilizing ONE of the following forms:

- ✓ **Form C-105.2** – Certificate of Workers’ Compensation Insurance issued by private insurance carriers; **OR**
- ✓ **Form U-26.3** issued by the State Insurance Fund; **OR**
- ✓ **Form SI-124** – Certificate of Workers’ Compensation Self-Insurance; **OR**
- ✓ **Form GSI-105.2** - Certificate of Participation in Workers’ Compensation Group Self- Insurance; **OR**
- ✓ **CE-2006** – Certificate of Attestation of Exemption from NYS Workers’ Compensation and/or Disability Benefits Coverage.

b. Disability Benefits Documentation. The Contractor will be required to provide the Agency with written evidence of disability benefits insurance coverage utilizing ONE of the following forms:

- ✓ **Form DB-120.1** - Certificate of Disability Benefits Insurance; **OR**
- ✓ **Form DB-155** - Certificate of Disability Benefits Self-Insurance; **OR**
- ✓ **CE-200** – Certificate of Attestation of Exemption from New York State Workers’ Compensation and/or Disability Benefits Coverage.

For additional information regarding workers’ compensation and disability benefits requirements, please refer to [www.wcb.ny.gov](http://www.wcb.ny.gov) or call their Bureau of Compliance at (518) 486-6307 with any questions regarding the law and its requirements.

- c. Commercial General Liability Insurance, including Contractual Liability of Two Million Dollars U.S. Dollars (\$2,000,000) aggregate which shall include Products and Completed Operations) and Four Million U.S. Dollars (\$4,000,000) General Aggregate. The limits of liability may be provided in a combination of a Commercial General Liability policy and an Umbrella Liability policy, which is written on a no less than follow form basis. The policy should be written on form CG 00 01 07 98, or its equivalent, and shall not include any exclusions or limitations other than those incorporated in the standard form. Such insurance is to be primary and non-contributory, notwithstanding any insurance maintained by the Primary Contractor.
- d. Data Breach and Privacy/Cyber Liability Insurance, which shall include Five Million Dollars U.S. Dollars (\$5,000,000) in the general aggregate. Such coverage shall include failure to protect confidential information and failure of the security of the Agencies' computer systems due to the actions of the Contractor that result in unauthorized access to the Agencies' users or their data. Said insurance shall provide coverage for damages arising from, but not limited to the following: 1) breach of duty to protect the security and confidentiality of nonpublic proprietary corporate information; 2) personally identifiable nonpublic information (e.g., medical, financial, or personal in nature in electronic or non-electronic form); 3) privacy notification costs; 4) regulatory defense and penalties; 5) website media liability; and 6) cybertheft of customer's property, including but not limited to money and securities. If the policy is written on a claims-made basis, Contractor must submit to HFA an Endorsement providing proof that the policy provides the option to purchase an Extended Reporting Period (tail coverage) providing coverage for no less than one year after work is completed if coverage is cancelled or not renewed. This requirement applies to both primary and excess liability policies, as applicable.
- e. Errors and Omissions Liability – Errors and Omissions (or Professional Liability), which shall include Errors and Omissions (or Professional Liability) insurance with limits of Ten Million U.S. Dollars (\$10,000,000).
- f. Fidelity Bond – Commercial Blanket Fidelity Bond Insurance, which shall include a customer protection endorsement, with limits of Seven Million U.S. Dollars (\$7,000,000). Said bond shall cover, without limitation, computer crime. HFA shall be named as an additional insured and a loss payee as its interest may appear.
- g. Umbrella/Excess Liability, with minimum limits of Ten Million U.S. Dollars (\$10,000,000) each occurrence and aggregate.
- h. Automobile Liability, of One Million U.S. Dollars (\$1,000,000) per person, One Million U.S. Dollars (\$1,000,000) per accident covering bodily injury (including death), and property damage for all vehicles that the Primary Contractor owns, hires or leases.

Certificates of Insurance, presented on Acord Form 25, accompanied with additional insured endorsement CG2010 (1001) and CG2037 (0704), if determined it is necessary, or, if acceptable to the Agency, their equivalent, shall be delivered to the Agency, prior to beginning the Scope of Work, evidencing the coverage required hereunder and showing all such coverages as noted above being in

force. All insurance policies provided by the Contractor's Parties shall be maintained under terms and conditions reasonably satisfactory to the Agency, and Contractor's Parties shall provide such other insurance coverage as the Agency may reasonably request from time to time. The Agency will not accept any exculpatory language such as "endeavor to" and "but failure to do shall impose no obligation or liability of any kind upon the insurer, its agents or representatives" on the Certificate of Insurance, i.e., the certificates shall meet the insurance requirements above.

In the event any insurance coverage is cancelled, the Agency must be notified immediately.

1. In addition to the foregoing, Contractor and any subcontractor(s) shall procure and maintain any and all insurance which is required by any applicable current or future law, rule, regulation, ordinance, permit, license, order or other legal requirement.
2. All insurance shall be primary and non-contributory and shall waive subrogation against the Agency and all of either of their former, current, or future officers, directors, and employees. No deductible of more than \$50,000 shall be permitted without advance written approval by the Agency, which the Agency may withhold, condition or deny in its sole and exclusive discretion.
3. The Contractor shall provide Certificates of Insurance to the Agency prior to the commencement of work and shall provide full and complete copies of the actual policies and all endorsements upon request. Subcontractor(s), if any, shall be required to maintain insurance meeting all of the requirements set forth above; however, Contractor shall require subcontractor(s) to maintain greater limits and/or other or additional insurance coverages if greater limits and/or other or additional insurance coverages are (a) generally imposed by the Contractor given its normal course of business for subcontracts for similar work or services to those being provided by the subcontractor at issue; or (b) reasonable and customary in the industry for similar work or services to those anticipated hereunder.
4. If the above insurance requirements are potentially excessive because they exceed the type and/or amount of insurance which is reasonable and customary for similar work or services in the same general geographic area, Contractor shall, within fifteen (15) calendar days of the execution of the contract, provide written notice of the same to the Agency, along with a written summary of the type and amount of insurance Contractor believes is reasonable and customary for similar work or services in the same general geographic area. The Agency may, in its sole and exclusive discretion, but is under no obligation to, waive, decrease, or otherwise alter or amend the insurance requirements in light of the notice. However, notwithstanding anything to the contrary herein, nothing in this paragraph requires or shall be deemed to require the Agency to waive, decrease, alter or amend, in whole or in part, any insurance requirements as a result of the foregoing notice from Contractor or for any other reason, and no waiver, decrease, alteration or amendment shall be made except as approved in advance and in writing by the Agency.

If the above insurance requirements are potentially inadequate because they do not meet or exceed the type and/or amount of insurance which is reasonable and customary for similar work or services in the same general geographic area, Contractor shall, within fifteen (15) calendar days of the execution of the contract, provide written notice of the same to the Agency, along with a written summary of the type and amount of insurance Contractor believes is reasonable and customary for similar work or services in the same general geographic area. The Agency may, in its sole and exclusive discretion, but is under no obligation to increase, supplement, expand, or otherwise alter or amend the insurance requirements in light of this notice. However, notwithstanding anything to the contrary herein, nothing in this paragraph requires or shall be deemed to require the Agency to increase, supplement, expand, or otherwise alter or amend, in whole or in part, any insurance requirements as a result of the foregoing notice from Contractor or for any other reason, and no increase, supplement, expansion or other alteration or amendment shall be made except in an amendment to this RFP or subsequent agreement, as approved in advance and in writing by the Agency.

### **13.4.2 Licenses, Certifications and other Credentials**

The Firm must respond affirmatively that it, and its subcontractor(s) (if any), will have, prior to commencement of work under the contract resulting from this RFP, all necessary licenses, certifications, approvals, and other needed credentials to perform the Scope of Work in the RFP, if applicable.

## **13.5 TAB 5: Diversity and SDVOB Proposal**

The Firm must complete the following hyperlinked forms for inclusion in their Tab 5 Proposal: (a) [EEO Staffing Plan, PROC-1](#); (b) [Utilization Plan](#) (c) [Request for Waiver](#), if applicable, (d) [Company Demographic Profile PROC-7](#); and (d) [EEOC Statement, PROC-8](#), applicable to Proposers with 15 or more employees.

### **13.5.1 Equal Opportunity Requirements**

Pursuant to Executive Order #162, the Contractor and its subcontractor(s), if any, are required to report the gross wages paid to each of their employees for the work performed by such employees under an executed contract with the Agency, on a quarterly basis.

The [EEO Workforce Utilization Report, PROC-5 form](#) and [Instructions](#), may be downloaded at the following addresses in Excel format:

<http://www.nyshcr.org/AboutUs/Procurement/Proc5-WorkforceUtilization.xlsx>

and

<http://www.nyshcr.org/AboutUs/Procurement/Proc5-WorkforceUtilization-instructions.pdf>



## **14. Administrative Information**

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### **14.1 Amendments and Addenda**

The Agency reserves the right to modify any part of this RFP including, but not limited to, the date and time by which proposals must be submitted and received by the Agency, at any time prior to the Deadline for Submission of Proposals date listed in the “*Calendar of Events and Milestones*” section of this RFP. Modifications to this RFP will be made by issuance of amendments and/or addenda. Any amendment or addendum to this RFP will become part of this RFP.

Prior to the Deadline for Submission of Proposals’ date, any such clarifications or modifications, as deemed necessary, will be posted to [HCR’s website](#).

If the Firm discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Firm will immediately notify the Agency of such error in writing and request clarification or modification of the document.

## **15. Evaluation of Proposals**

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HFA reserves the right to reject all proposals received after the RFP due date and time. All proposals will be reviewed to determine if they meet the mandatory minimum qualifications indicated in Section 7 herein. Any proposal that does not meet the qualifications in Section 7 will be rejected.

### **15.1 The Selection Process**

The selection process will begin with the review and evaluation of each of the written proposals. The purpose of the evaluation is twofold: (1) to examine the responses for compliance with the requirements of this RFP; and (2) to identify the complying Firm(s) that have the highest probability of satisfactorily performing the Scope of Work, described herein. The evaluation will be conducted in a comprehensive and impartial manner as set forth herein.

### **15.2 Preliminary Review**

All proposals will be reviewed to determine if they contain all required submittals specified in this RFP. Incomplete proposals may be rejected.

### **15.3 Evaluation and Criteria for Selection**

Proposals will undergo an evaluation process conducted by a committee of the Agency (“**Committee**”). The Agency will evaluate proposals based on the qualifications of both the Firm and its current personnel, which will include an individual’s experience at other firms during the relevant

time period. The Committee will evaluate the proposals based upon the following criteria, not necessarily listed in the order of importance:

- Demonstrated experience, competence, expertise and ability to provide the AMS services in the Scope of Work described in Section 8 of this RFP;
- Project Plan, Project Approach and response to the cited deliverables in the RFP;
- Proposed fees and costs (including discount to governmental agency);
- Presence of an office in the State of New York;
- Diversity and commitment to equal employment opportunity, including MWBE and SDVOB programs;
- Overall organization, completeness and quality of response, including cohesiveness and clarity of response; and
- Interviews to clarify or expand on the RFP response (to be conducted at the discretion of the Agency).
- The proposed SOW to be incorporated into the MSA.
- The proposed deviations from the MSA.
- The Agency reserves the right to create a shortlist of proposals.

## **15.4 Interviews**

The Agency reserves the right to determine whether interviews will be necessary and the number of Firms to be interviewed. If the Agency deems interviews necessary, selected Firms will be notified. The Firm's primary contact person who would be responsible for the Agency's relationship with the Firm, as well as other key personnel proposed to provide services, including subcontractor(s), if any, must be present and participate in the interview. The purpose of the interview is to further document the Firm's ability to provide the required services, and to impart to the Agency's Committee an understanding of how specific services will be furnished. The interview will be evaluated on the basis of whether it substantiates the characteristics and attributes claimed by the Firm in its written response to this RFP and any other information requested by the Committee prior to the interview.

The Agency reserves the right to negotiate or hold discussions with any or all Firms.

## **15.5 Selection and Notification Process**

The selected Firms will be notified via U.S. mail or email. Firms who are not selected will be notified of the Agency's determination via U.S. mail or email.

# **16. Important Information for Proposers**

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## **16.1 Proposal Requirements**

A Firm may withdraw a proposal by written notification any time prior to the due date and time indicated in the "*Calendar of Events and Milestones*" section of this RFP. The written notification must be signed by an authorized signatory of the Firm and addressed to the contact person identified

on page 6 of this RFP. The proposal may thereafter be resubmitted, but not after the final due date and time.

By responding to this RFP, the Firm indicates its acceptance of the provisions and conditions enumerated in this RFP. The Firm warrants and affirms that the terms of this RFP, and any resultant agreement, do not violate any contracts or agreements to which it is a party, and that its other contractual obligations will not adversely influence its capabilities to perform under a contract resulting from this RFP process.

## **16.2 Miscellaneous Provisions**

By submitting a proposal, the Firm covenants that it will not make any claims or have any right to damages because of any misinterpretation or misunderstanding of the specifications or because of lack of information.

The Agency shall not be obligated for any cost incurred by the Firm in proposal preparation or in activities related to the review of this RFP or any interview costs.

**INTENT TO SUBMIT PROPOSAL FORM**

**NEW YORK STATE HOUSING FINANCE AGENCY**

***Request for Proposals for  
SAP Technical and Application Management Services***

This is to notify you that it is our present intent to **submit** a proposal in response to the above referenced RFP and to acknowledge that we have read the listing of experience satisfying the mandatory Minimum Qualifications set forth in the RFP.

The individual to whom all information regarding this RFP should be transmitted is:

Company Name:

\_\_\_\_\_

Contact Name: \_\_\_\_\_

Street Address:

\_\_\_\_\_

City, State, & Zip: \_\_\_\_\_

Phone Number: Fax Number: \_\_\_\_\_

\_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Authorized Signature:

Name\_ \_\_\_\_\_ Title: \_\_\_\_\_

(\_\_\_\_) \_\_\_\_\_ (\_\_\_\_) \_\_\_\_\_  
Phone Number FAX Number

**Email completed Intent to Submit Proposal Form to: [Lisa.Pagnozzi@nyshcr.org](mailto:Lisa.Pagnozzi@nyshcr.org)**

# *Application Coversheet*

*Attach this form to the top of your proposal.*

**DATE OF APPLICATION:** \_\_\_\_\_

**GENERAL INFORMATION ON FIRM:**

Legal Name of Firm:

\_\_\_\_\_

Firm's Mailing Address:

\_\_\_\_\_

Firm's Website:

\_\_\_\_\_

Firm's Main Telephone Number (including area code):

\_\_\_\_\_

Federal Tax ID Number:

\_\_\_\_\_

FINRA and/or SEC Registration Number (if applicable):

\_\_\_\_\_

MWBE Registration Number (if applicable):

\_\_\_\_\_

Service-Disabled Veteran-Owned Business Registration Number (if applicable):

\_\_\_\_\_

**MAIN CONTACT INFORMATION FOR THIS PROPOSAL:**

Please list the individual that will be the main contact *regarding this proposal*:

Contact Name:

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Contact Telephone Number (including area code):

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Contact E-mail Address:

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Contact Facsimile Number (including area code):

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**PRINCIPAL IN CHARGE:**

Please list the primary staff person(s) who will provide services to HFA. Attach additional sheets if necessary.

Contact Name:

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Contact Telephone Number (including area code):

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Contact E-mail Address:

---

Contact Facsimile Number (including area code):

---

**ADDITIONAL CONTACTS (if applicable):**

Contact Name:

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Contact Telephone Number (including area code):

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Contact E-mail Address:

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Contact Facsimile Number (including area code):

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Contact Name:

---

Contact Telephone Number (including area code):

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Contact E-mail Address:

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Contact Facsimile Number (including area code):

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**TAB 1 - ATTACHMENT 2**  
**MINIMUM QUALIFICATIONS QUESTIONNAIRE**

Proposers shall demonstrate how they meet or exceed each of the Minimum Qualifications outlined in Section 7 of the RFP and shall provide responses in the following format. Proposers may add additional pages as necessary.

- 1) Does your firm possess a valid certification as SAP Implementation or Service Partner, such as at least one of the following certifications? Yes or No?
  - a) SAP Application Operations Partner
  - b) SAP Partner Edge Service Partner
  - c) SAP Application Management Services Partner

**Provide copies of SAP certifications for the above titles.**

- 2) Does your firm have at least five (5) years of expertise in the design, implementation, integration, project management, daily maintenance and functional and technical operational support of S/4 HANA systems version 1610 or higher including its deployment in a cloud hosting environment such as Amazon Web Services, Google Cloud or Microsoft Azure in a Linux environment? Yes or No?

**Provide information relating to the scope of the specific engagements that demonstrates the above. Include the budget for the project and contact information for each engagement including the name of the Firm and contact information for the firm representatives that can confirm the details under each engagement.**

- 3) Does your firm have at least five years of expertise in the planning, installation, improvement and support of SAP HANA Database Platform with at least two years of experience on HANA version 2.0? Yes or No?

**Provide information relating to the scope of the specific engagements that demonstrates the above. Include the budget for the project and contact information for each engagement including the name of the Firm and contact information for the firm representatives that can confirm the details under each engagement.**

- 4) Does your firm have at least five years of expertise in the installation, configuration and interface of Fiori Front End Server 4.0 and higher with S/4 HANA and SRM? Yes or No?

**Provide information relating to the scope of the specific engagements that demonstrates the above. Include the budget for the project and contact information for each engagement including the name of the Firm and contact information for the firm representatives that can confirm the details under each engagement.**

- 5) Has your firm installed, configured and administered at least five implementations of Solution Manager version 7.2 with at least three of the following components? Yes or No?
  - a) Technical Administration



- b) System and Application Monitoring
- c) Business Process Operation, Monitoring and Improvement
- d) Change Management
- e) Root Cause Analysis
- f) IT Service Management (ITSM)
- g) Job Management
- h) Guided Procedures
- i) Test Suite

**Provide information relating to the scope of the specific engagements that demonstrates the above. Include the budget for the project and contact information for each engagement including the name of the Firm and contact information for the firm representatives that can confirm the details under each engagement.**