

Cover Page – Request for Quote – Cloud Solution

TO BE COMPLETED BY AUTHORIZED USER

RFQ Title Rent Regulation System Modernization	RFQ Number 231013
Authorized User Information: New York State Division of Housing and Community Renewal 38-40 State Street, Hampton Plaza Albany, New York 12207	Authorized User Delivery Information: New York State Division of Housing and Community Renewal 38-40 State Street, Hampton Plaza Albany, New York 12207
Special Delivery Instructions: N/A	

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Authorized User shall indicate if Procurement Lobbying Law/Restricted Period is in effect: Yes No
A Lobbying Law Restricted Period is currently in effect for this Procurement and will remain in effect until approval of the purchase order contract. Contractors are prohibited from Lobbying Law Contacts related to this Procurement with any New York State employee other than the Designated Contacts listed above. By signing, Contractor affirms that it understands and agrees to comply with the Authorized User's policies and procedures relative to permissible contacts. Information may be accessed at: Procurement Lobbying: <https://ogs.ny.gov/ACPL/>

RFQ LOTS

This RFQ is for Products from the following checked Lots as defined in Award # 22802 – Information Technology Umbrella Contract – Manufacturer Based (Statewide):

Lot 1 – Software Lot 2 – Hardware Lot 3 – Cloud Lot 4 – Implementation

The Authorized User named above is seeking competitive quotes from the Contractor (Manufacturer) and their Resellers (where applicable) of Information Technology Umbrella Contract – Manufacturer Based Contract(s) for the above-referenced Products. If the RFQ includes Lot 4 – Implementation, Contractor must prior to submitting a response to the RFQ either hold an award for Lot 4 – Implementation or be able to provide the services under the other Lots included in the RFQ.

LOT 3 – CLOUD DATA RISK LEVEL: Low Medium High

DATA CATEGORIZATION ELEMENTS:

- Personally Identifiable Information (PII)
- Unauthorized disclosure of information
- Unauthorized access of sensitive information
- Unauthorized modification or destruction of information
- Information availability

QUESTIONS AND OTHER EVENTS

Event	Date	Time
RFQ Release Date	October 13, 2023	
Pre-Bid Conference	October 23, 2023	2PM, Eastern Time (ET)
Vendor Questions Due	November 2, 2023	Noon, ET
DHCR Responses to Vendor Questions Released	November 9, 2023	To Be Determined (TBD)
Vendor RFQ Response Due	November 17, 2023	3PM, ET
Demonstration and Interview Dates	TBD	TBD
Expected Contract Start Date	TBD	TBD

MWBE AND SDVOB PARTICIPATION GOALS:		30% Overall MWBE Participation Goal 6% SDVOB Participation Goal
IS THE RFQ BIDDER POOL LIMITED TO MWBE, SB, AND SDVOB VENDORS: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
BASIS FOR AWARD	<input type="checkbox"/> Lowest Price Meeting Specified Technical Requirements <input type="checkbox"/> Lowest Price Meeting Specified Technical Requirements and Mandatory Pass/Fail Requirements <input checked="" type="checkbox"/> Best Value with Technical and Financial Score	
E-RATE ELIGIBLE	<input type="checkbox"/> Yes (E-Rate Discounts are Required) <input checked="" type="checkbox"/> No	
SERVICE MODEL FOR LOT 3 – CLOUD SOLUTION <i>(check all that apply)</i>	<input checked="" type="checkbox"/> Software as a Service (SaaS) <input type="checkbox"/> Infrastructure as a Service (IaaS) <input type="checkbox"/> Platform as a Service (PaaS) <input type="checkbox"/> Anything as a Service (XaaS)	
DEPLOYMENT MODEL FOR LOT 3 – CLOUD SOLUTION <i>(Check all that apply)</i>	<input type="checkbox"/> Private Cloud <input type="checkbox"/> Community Cloud <input type="checkbox"/> Public Cloud <input type="checkbox"/> Hybrid Cloud <input checked="" type="checkbox"/> Other: Government Cloud	
APPLICABLE STATUTORY / POLICY REQUIREMENT	<input checked="" type="checkbox"/> None <input type="checkbox"/> CJIS <input type="checkbox"/> FERPA <input type="checkbox"/> FISMA <input type="checkbox"/> GLB <input type="checkbox"/> HIPAA <input type="checkbox"/> HITECH <input type="checkbox"/> Tax <input type="checkbox"/> PPI <input type="checkbox"/> PCI DSS <input type="checkbox"/> SOX <input type="checkbox"/> ECPA <input type="checkbox"/> Other	
CAIQ REQUIREMENT	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

ATTACHMENTS

<p>Attachments provided with RFQ:</p> <ul style="list-style-type: none"> Attachment 1 - Requirements Matrix Attachment 2 - Deliverables Matrix Attachment 3 - Key Roles Staffing Matrix Attachment 4 – Service Level Agreement Matrix Attachment 5 - Application Coversheet Attachment 6 - Submission Checklist Attachment 7 - Qualifications Response Form Attachment 8 - Cloud Solution Financial Response Attachment 9 - Acronyms Sheet Attachment 10 - Glossary of Terms Attachment 11 - RRSN Information Classification June 2022 Attachment 12 - Rider Deviations Template Attachment 13 - Procurement Lobbying Provisions and Forms 	<p>Links to Diversity/SDVOB Attachments:</p> <ul style="list-style-type: none"> EEO Staffing Plan Form, PROC-1 Utilization Plan, PROC-2 MWBE & EEO Policy Statement, PROC-4 Company Demographic Profile, PROC-7 EEOC Statement, PROC-8 Diversity Practices Questionnaire, PROC-9
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The Authorized User will not be held liable for any cost incurred by the Contractor for work performed in the preparation of a response to this RFQ or for any work performed prior to the formal execution of an Authorized User Agreement. Responses to the RFQ must be received by the deadline specified above. Contractors assume all risks for timely, properly submitted deliveries. A Contractor is strongly encouraged to arrange for delivery of RFQ responses prior to the date of the RFQ opening. LATE RFQ responses may be rejected. The received time of an RFQ response will be determined by the Authorized User.

All purchases resulting from this RFQ shall be in accordance with terms and conditions of the OGS Information Technology Umbrella Contract – Manufacturer Based Contract and any additional terms and conditions set forth in this RFQ and its Attachments.

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A. SCOPE / MANDATORY REQUIREMENTS

A.1 Introduction

A.1.1 Purpose and Background

The New York State (NYS or State) Division of Housing and Community Renewal (DHCR) is requesting quotes from qualified Cloud Solution Manufacturers for a Salesforce cloud-based solution that will modernize DHCR's current legacy systems and manual processes, hereinafter referred to as the Rent Regulation System Modernization (RRSM) project. DHCR encourages Vendors (also referred to hereinafter as "Respondents") to partner with experts in the field, such as Yardi Systems, MRI Software, or any other applicable companies with similar expertise.

The RRSM project includes the implementation of a technical cloud-based solution that will streamline operational processes, improve customer service, and increase data accuracy and integrity. Citizens, building owners, and tenants have experienced delays in housing matters that affect their living situations and livelihoods. By modernizing processes and technology, DHCR can better leverage its resources by allocating them in a more efficient manner while providing increased, operative oversight to help identify and mitigate issues before they adversely impact tenants and owners. For example, DHCR seeks to establish a cohesive and comprehensive portal that the public can use to self-serve their rent regulation needs.

In 2016, New York's technology agency, the NYS Office of Information Technology Services (ITS), issued a request for proposals on DHCR's behalf for rent regulation business transformation. A contract was subsequently awarded to Accenture, and Accenture continued work on the contract into 2018. ITS then assumed responsibility for the remaining tasks and developed a series of Business Requirements Documents (BRDs) and requirements matrices.

In preparation for this Request for Quotes (RFQ), DHCR issued a Request for Information (RFI) in May 2021. DHCR is now seeking to transition to a Salesforce cloud solution that will supersede all initial work and current solutions. The implementation of the technical cloud-based solution resulting from this RFQ process will complete the transformation with a highly configurable, operational solution.

DHCR chose to release this RFQ to all Lot 3 and 4 Vendors. However, two conditional stipulations apply:

1. Because the RRSM project does require implementation and configuration, any interested Lot 3 Vendor that is not available on Lot 4 must add Lot 4 to their OGS contract before responding to this RFQ. Any Vendor that submits a response for Lot 3 only will be considered non-responsive.
2. The RRSM project's Data Breach and Privacy/Cyber risk level is moderate. Any Vendor that responds to this RFQ is expected to hold insurance policies and limits required for moderate risk as defined in [Appendix J - Contractor's Insurance Requirements](#). Any Lot 3 Vendor that currently holds insurance policy limits for only low risk must, as a condition to contract execution, either partner with a prime Vendor who holds insurance policy limits for moderate risk or demonstrate to DHCR that they have increased their insurance limits as required by OGS for moderate risk data.

As the RRSM project requires implementation and configuration, any interested Lot 3 Vendor that is not available on Lot 4 must add Lot 4 to their OGS contract before responding to this RFQ.

DHCR intends to award a single contractual agreement with a period of performance of five (5) years.

A.1.2 Mandatory Requirements

Respondents shall meet the following mandatory requirements and submit necessary information in their Submissions:

1. Respondents must submit quotes for a cloud-based Salesforce application; and
2. Respondents must provide a written statement affirming its agreement that upon implementation of the application or any part thereof, DHCR shall be vested with all proprietary rights and ownership of said application or part thereof and no proprietary right and/or ownership of the application or part thereof shall remain or vest with the Respondent.

Failure to comply with the above mandatory requirements shall constitute grounds for rejection of a Respondent's RFQ Submission. DHCR reserves the right to determine that a Respondent has substantially met all the RFQ requirements and to request additional information from the Respondent.

A.1.3 Department Overview

DHCR is one of seven agencies under New York State Homes and Community Renewal (HCR). HCR is NYS's affordable housing agency, with a mission to build, preserve, and protect affordable housing and increase homeownership throughout NYS.

DHCR is responsible for the supervision, maintenance, and development of affordable low- and moderate-income housing in New York State. DHCR performs a number of activities, including (i) oversight and regulation of NYS's public and publicly assisted rental housing, (ii) administration of NYS's rent regulations and protection of rent regulated tenants, and (iii) administration of housing development and community preservation programs, including NYS and Federal grants and loans to housing developers to finance construction and renovation of affordable housing.

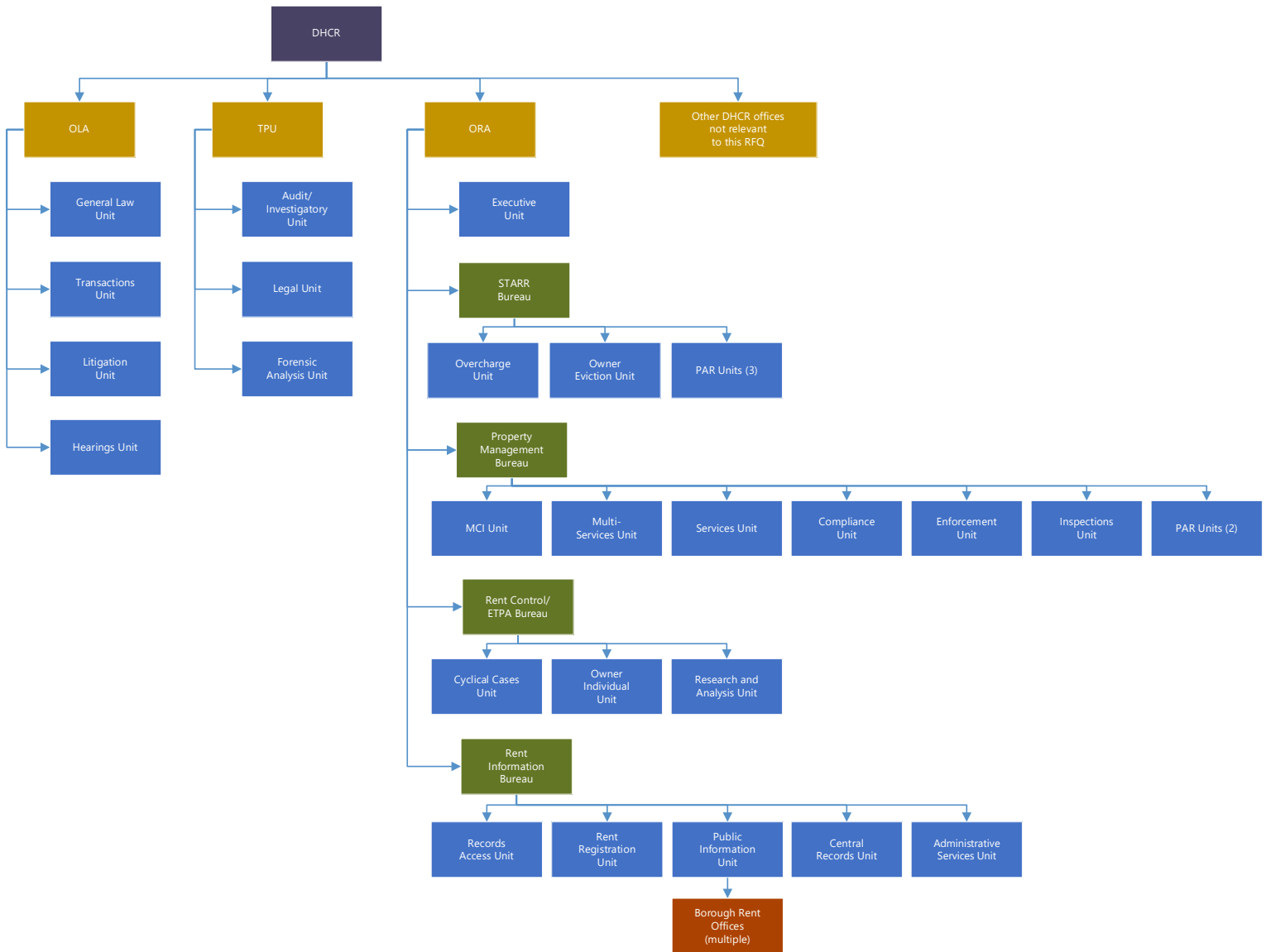
DHCR includes, among other offices, the Office of Rent Administration (ORA), the Tenant Protection Unit (TPU), and the Office of Legal Affairs (OLA). In New York City and adjacent counties, ORA enforces the State's rent regulation laws, and TPU protects the rights of tenants facing landlord harassment or rent overcharges.

ORA is the main sponsor of the RRSN project.

The figure below illustrates the organization of ORA's, TPU's, and OLA's bureaus and units. It should be noted that the figure shows only the subset of DHCR integral to this engagement and does not represent the entire department.

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Figure 1, DHCR Organization



A.1.3.1 ORA

ORA administers New York State regulations that (i) limit rent increases, (ii) require lease renewals, (iii) provide for the maintenance of services and/or repairs, (iv) allow for rent increases for apartment and building improvements, and (v) prevent harassment and unwarranted evictions.

ORA works collaboratively with TPU and OLA in support of daily operations.

ORA captures the registration of all rent-regulated buildings and apartments in New York State, creating an inventory against which all subsequent actions related to rent regulation can be processed. The current inventory tracks over 900,000 rent-regulated apartments. ORA then considers and responds to the complaints, applications, and inquiries from the tenants and owners of these apartments.

Together, the Stabilized Tenancy and Rent Review (STARR) Bureau, Property Management Bureau, and Rent Control/Emergency Tenant Protection Act (ETPA) Bureau handle approximately 77 different case types concerning various areas of the rent regulation system. Case types include, but are not limited to, rent overcharge, lease violations, apartment and building services, major capital improvements, harassment, and compliance. Each month, the Rent Information Bureau fields thousands of general inquiries, or questions from the public about rent-stabilized or rent-controlled buildings or apartments, via phone, email, and walk-in services.

The table below provides descriptions for each of ORA’s four bureaus and their formal units. An Executive Unit, which handles reporting and data analytics, reports directly to ORA leadership.

Table 1, ORA Organization		
ORA Bureaus and Units		
Bureau Name	Bureau Description	Bureau Units
Stabilized Tenancy and Rent Review (STARR) Bureau	The STARR Bureau processes complaints from tenants concerning overcharge, lease renewal, fair market rent appeal, and improper eviction. The bureau also processes applications pertaining to owner occupancy, demolition, or substantial rehabilitation.	The Overcharge Unit processes overcharge complaints, lease violation complaints, and Fair Market Rent Appeals (FMRA).
		The Owner Eviction Unit processes rehabilitation applications where the owner alleges that the building was substantially rehabilitated on or after January 1, 1974. The unit also processes applications by owners who plan to demolish a building and are seeking permission to refuse to renew leases.
		The STARR Bureau contains three Petition for Administrative Review (PAR) Units, the Rent Control PAR Unit, the Lease Violation PAR Unit, and the Luxury Decontrol PAR Unit. They support the review of tenant and owner appeals of the orders issued by the Overcharge Unit and Owner Eviction Unit and ensure that all relevant forms, processes, and calculations were accurately completed.
Property Management Bureau	The Property Management Bureau processes building-wide owner applications for rent increases based on Major Capital Improvements (MCI), hardship rent increases, tax abatement offsets, and modifications of building-wide services. The bureau also processes tenant applications for the maintenance of apartment and building-wide services, tenant complaints of harassment, and tenant complaints of non-compliance with ORA orders.	The MCI Unit processes applications from owners who have modified building-wide services or made building-wide improvements, such as the replacement of boilers, roofs, and windows, for the operation, preservation, and maintenance of the building.
		The Multi-Services Unit processes service reduction cases outside of New York City, cases where the rent or status of an apartment is in controversy, cases that involve tax abatement offsets, and agency-initiated administrative investigation cases.
		The Services Unit processes tenant applications for rent reductions based upon defective conditions as well as owner applications to restore rent after reductions.
		The Compliance Unit pursues owners who do not comply with agency orders, requires owners to make repairs or issue leases as ordered, and issues civil penalties.
		The Enforcement Unit pursues owners who are non-compliant to agency orders and investigates, and if necessary, prosecutes complaints of tenant harassment by the owner.
		The Inspections Unit conducts field inspections of housing accommodations in New York City, Rockland, Westchester, and Nassau counties, and any other area in NYS covered by ETPA.
		Two PAR Units support the review of tenant and owner appeals of the orders issued by the Property Management Bureau. The PAR Units ensure that all relevant forms, processes, and calculations were accurately completed.
Rent Control/ Emergency Tenant Protection Act (ETPA) Bureau	The Rent Control/ETPA Bureau, under the maximum base rent (MBR) system, limits the rent an owner may charge	The Cyclical Cases Unit processes MBR cases and challenges.
		The Owner Individual Unit processes rent control overcharge complaints and filings for rent increases.

ORA Bureaus and Units		
Bureau Name	Bureau Description	Bureau Units
	<p>for an apartment and sets restrictions on the ability of owners to evict tenants.</p> <p>The bureau also provides services to the Nassau, Rockland, and Westchester Rent Guidelines Boards (RGB).</p>	<p>The Research and Analysis Unit sends the biennial MBR Standard Adjustment Factor to the Cyclical Cases Unit and provides statistical support to Nassau, Rockland, and Westchester counties' RGBs through the annual ETPA Guideline Survey Schedule application. The unit is also responsible for the annual billing to the ETPA-covered municipalities in Nassau, Rockland, and Westchester.</p>
Rent Information Bureau	<p>The Rent Information Bureau provides the public with access to apartment and building rent registration information.</p> <p>The bureau also contains the Forms Unit, which creates printed material such as applications and information on owner and tenant rights.</p>	<p>The Records Access Unit processes court-ordered subpoenas and owner, tenant, and authorized representative requests for records access.</p>
		<p>The Rent Registration Unit processes incoming registrations and amendments submitted by owners and works with New York City agencies that have specific registration requirements for 421-a buildings entering the rent stabilization system.</p>
		<p>The Public Information Unit manages ORA's website, responds to email inquiries with standardized responses, and maintains multiple Borough Rent Offices (BRO) for walk-in services as well as the Rent InfoLine, ORA's central phone line where public information (PI) staff can be reached.</p>
		<p>The Central Records Unit scans, archives, retrieves, and disposes of paper records that include filed cases, supporting documentation, and case outcomes.</p>
		<p>The Administrative Services Unit supports the mailroom, including correspondence reporting, and provides administrative supplies.</p>

A.1.3.2 TPU

TPU was created in 2012 as a proactive law enforcement office within DHCR. TPU preserves affordable housing by detecting and curtailing patterns and practices of landlord fraud and harassment through audits, investigations, inspections, and impactful legal actions. TPU also encourages compliance by informing tenants and owners of their rights and responsibilities under the rent regulation laws. TPU is composed of three units: (i) Audit/Investigatory Unit, (ii) Legal Unit, and (iii) Forensic Analysis Unit.

A.1.3.3 OLA

OLA provides legal advice, counsel, and representation to all DHCR offices and program areas and ensures that all matters comply with federal and NYS legal mandates. OLA's primary functions are organized within four major units: (i) General Law, (ii) Litigation, (iii) Hearings, and (iv) Transactions. The Litigation Unit conducts Article 78 litigation for cases processed by ORA. Administrative Law Judges (ALJ) within the Hearings Unit conduct non-compliance and agency referral hearings for rent-regulated apartments.

A.1.4 Project Framework

The Glossary of Terms, provided as Attachment 10, defines important terms used throughout the RFQ and the project's requirements.

The rest of this section presents ORA's vision statement and mission and two tiers of guiding principles as the conceptual basis for the implementation of the RRSM project and its internal and external applications. The successful

Vendor will also be provided with a set of in-progress Vision Documents that flesh out each office's, unit's, and bureau's specific guiding principles.

A.1.4.1 ORA Vision Statement

ORA's vision statement expresses what ORA seeks to achieve both within and independent of the RRSB project:

To facilitate productive interactions between tenants and owners while delivering an experience that is modern, fast, reliable, accessible, personalized, and data driven to strengthen and protect rent regulation in the State of New York.

A.1.4.2 ORA Guiding Principles

These six guiding principles serve as the driving force behind ORA's vision statement, setting the foundation for system and process modernization:

- Build streamlined, digital processes for timely and accurate case processing, inventory management, investigation, inspection, and litigation;
- Become the primary resource to execute rent regulation practices and facilitate effective tenant/landlord interaction;
- Utilize data and technology to develop the most thorough understanding of every case;
- Empower the public and our workforce with clear information and intuitive tools to make case work easier;
- Design services with a human-centered approach; and
- Strengthen our reputation to be worthy of public confidence and trust.

A.1.4.3 ORA Mission

ORA is committed to administering New York State's rent laws in order to maintain decent, affordable housing for millions of New Yorkers. The laws and regulations are designed to provide owners an adequate return on investment while protecting tenants from unlawful rent increases, harassment, and illegal evictions in a market with a persistent shortage of quality, affordable rental housing. As the administrator of the laws and custodian of all rent registration records, ORA is responsible for responding to applications and legitimate inquiries from tenants and owners of the nearly one million regulated apartments in New York City and other parts of NYS ("State").

A.1.4.4 RRSB Guiding Principles

These eight guiding principles are specific to ORA's offices, units, and bureaus and to the RRSB project. They summarize not only how the new system should function but also what the new system should enable ORA staff to accomplish.

- | | |
|---------------------------------|---------------------------|
| ■ Put user needs first. | ■ Automate case actions. |
| ■ Go online. | ■ Promote self-service. |
| ■ Equip ourselves with data. | ■ Design for flexibility. |
| ■ Make our jobs more efficient. | ■ Track, learn, fix. |

A.1.5 Current State Overview

Each year, ORA receives approximately:

- 8,250 tenant complaints;
- 7,500 owner applications;
- 45,000 building registrations from owners;
- 900,000 apartment registrations from owners; and
- 30,000 tenant requests for rent history.

Buildings and apartments must be registered when they become subject to rent regulation, and re-registration is required annually thereafter. Each new registration becomes an inventory asset, and any applications, complaints, cases, amendments, and inquiries that may follow are then attached to the appropriate inventory asset. For example, when an owner makes improvements or installations to their rent-regulated building, they may apply to DHCR for approval to raise tenant rents. A tenant may then choose to, among other actions, challenge the application or file an appeal against DHCR’s decision. Some inventory assets may never have a case opened.

For each activity, staff receive information and documentation from tenants and owners, access data from both internal and external systems, and organize and analyze all data and information for accurate processing. While general inquiries that do not become cases have shorter resolution times, certain cases may not reach resolution for several years, depending on the type and complexity of the case and on the amount of manual work staff must complete. Case files can range in size from a few pages to several boxes and may include case history, submitted forms, research, inspection, and audit information.

The rent regulation technology applications currently in use can be broadly categorized into two groups: internal and external. Internal applications contain functionality around case processing and data updates. External applications contain functionality around form submission, tracking, and inquiries and provide data to HUTS for internal processing. Internal users include ORA, TPU, OLA, and other DHCR departments, as well as ITS, while primary external users include tenants, owners, representatives, and trade organizations that focus on rent-regulated properties. Secondary external users include local municipal partner agencies such as NYC Department of Housing Preservation and Development (HPD), NYC Department of Buildings (DOB), NYC Department of Finance (DOF), and local court systems.

The following diagram visualizes the organization of the rent regulation technology applications, while the table below the diagram provides additional task and platform details for each application. The functionality of these applications must be duplicated in the future solution. It should be noted that Oracle Service Cloud must be replaced in the new solution, as it is not currently supported for new enhancements.

Figure 2, Current Context Diagram

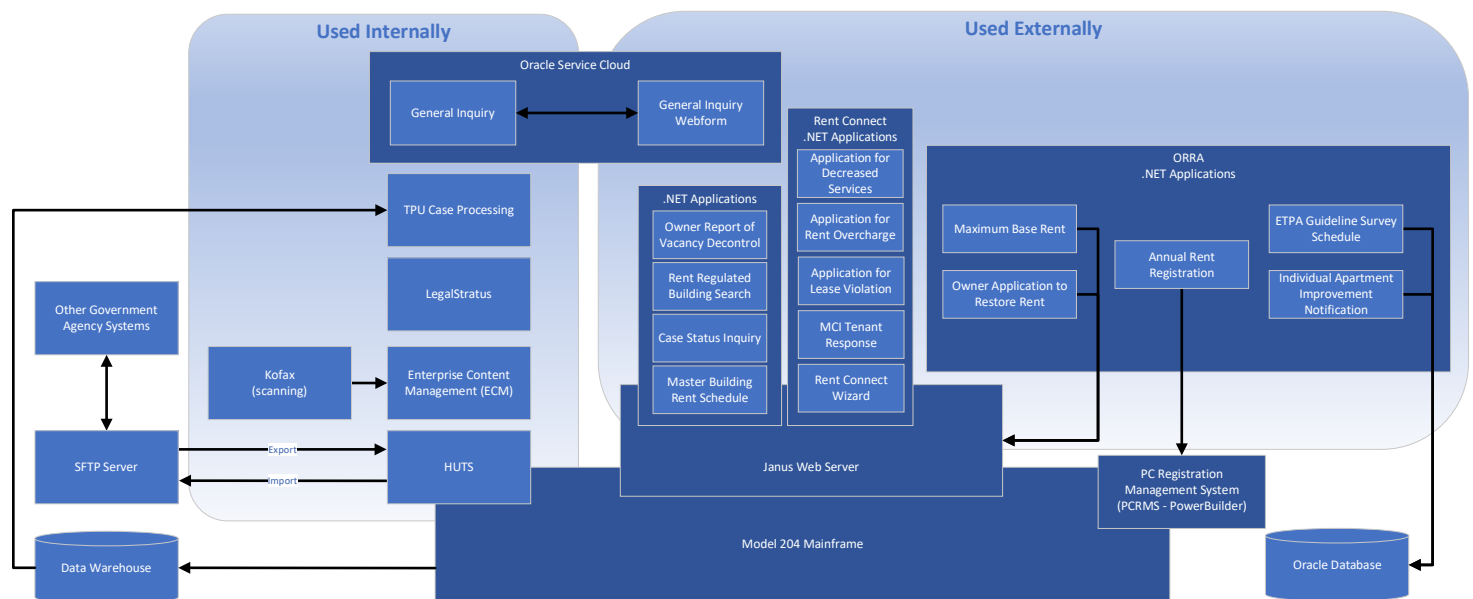


Table 2, Current Internal and External Technology Applications

Current Internal and External Technology Applications		
Application Type	Application Name	Application Description
Internal	Historical Update and Tracking System (HUTS) / Model 204	<ul style="list-style-type: none"> • Workhorse of DHCR’s data management and case processing workflows. <ul style="list-style-type: none"> ○ Performs simple and complex rent calculations. ○ Deploys automated notices and orders. ○ Sends data to the NYS Data Warehouse (DW). • In-house terminal-based application developed on a Rocket Model 204 backend database on an IBM mainframe platform. • Model 204 system was implemented at DHCR in 1984 and has been an integral part of its processes since.
	Enterprise Content Management (ECM)	<ul style="list-style-type: none"> • Content management platform from OpenText. • Used as a document repository for historical case files and forms and attachments submitted via the public-facing web applications.
	General Inquiry	<ul style="list-style-type: none"> • Built on Oracle Service Cloud, which the new solution must replace. • Used by the Public Information Unit for managing inquiries from the general public.
	LegalStratus	<ul style="list-style-type: none"> • Legal case management system primarily used by OLA staff. • Built on the Salesforce platform. • Must be integrated; will not be replaced with the new solution.
	TPU Case Processing	<ul style="list-style-type: none"> • Supports the case processing workflow of TPU. • Built on Oracle Apex, a customizable SaaS platform. • Must be integrated; will not be replaced with the new solution.
	Mobile Inspection	<ul style="list-style-type: none"> • Not currently automated. • Manual processes are used to conduct inspection of apartments and buildings in support of case management activities. • ORA inspectors schedule and conduct inspections and produce inspection reports.
	Kofax	<ul style="list-style-type: none"> • Scanning application that batch ingests documents and sends to ECM.
External	<p>Owner Rent Regulation Applications (ORRA)</p> <ul style="list-style-type: none"> • Annual Rent Registration • Owner Application to Restore Rent • ETPA Guideline Survey Schedule 	<ul style="list-style-type: none"> • Composed of multiple individual applications, each presented on their own page, which provide owners with tools to perform tasks such as renewing their building registration, calculating rent increases, and responding to surveys.

Current Internal and External Technology Applications		
Application Type	Application Name	Application Description
	<ul style="list-style-type: none"> Maximum Base Rent Individual Apartment Improvement (IAI) Notification 	<ul style="list-style-type: none"> Built on the ASP.NET framework.
	<p style="text-align: center;">Standalone Applications</p> <ul style="list-style-type: none"> Owner Report of Vacancy Decontrol Rent Regulated Building Search Case Status Inquiry Master Building Rent Schedule 	<ul style="list-style-type: none"> Suite of standalone application pages built on the .NET framework. Straightforward way for the public to query information about cases or buildings and for owners to submit forms used in case processing.
	<p style="text-align: center;">Rent Connect</p> <ul style="list-style-type: none"> Application for Decreased Services Application for Rent Overcharge Application for Lease Violation MCI Tenant Response Rent Connect Wizard 	<ul style="list-style-type: none"> Features several interactive web forms for tenants to file regarding deficiencies in their rental property (for an apartment or building), overcharges, or responses to open MCI cases. Built on the Angular framework, which provides functionality for tenants.
	<p style="text-align: center;">General Inquiry Webform</p>	<ul style="list-style-type: none"> Aggregates email inquiries and provides a webform for the public to submit questions related to a rent-stabilized or rent-controlled building or apartment. All inquiries are sent to the Public Information Unit. Managed by the Oracle Service Cloud platform, which the new solution must replace.

Modernizing two internal applications, LegalStratus and TPU Case Processing, is not in scope for the RRSB project. However, both will need to integrate with the new RRSB solution to send case processing data to ORA and receive any data required for their business processes from ORA. TPU currently receives but does not send data to the DW or HUTS, while LegalStratus does not currently send or receive data from HUTS or the DW. More details can be found in Section A.2.2, Functional Requirements, and in the Requirement Matrix (RM). The RM is provided as Attachment 1.

A.2 Scope of Services (Scope of Work)

The scope presented here and throughout the RFQ and its attachments is written at a high level. The intention is to accurately outline what the Vendor’s work must accomplish without prescribing exactly how the Vendor should arrive at each desired result.

This RFQ is being distributed to the Contractors and Resellers (where applicable) to acquire the following:

A modern, secure, web browser-based application and reporting system that will fulfill the following:

The solution must increase the proportion of case files that are entirely accessible via DHCR systems.
The solution must decrease the total case processing time of every case type.
The solution must decrease the total response time for all inquiries and activities.
The solution must decrease the number of calculation errors.
The solution must decrease the number of forms that are submitted with errors and missing information.

Note that the above represent the project’s business requirements and overall principles; specific numeric goals will be discussed and agreed to collaboratively with the selected Contractor and DHCR.

For the duration of an Authorized User Agreement, the Cloud Solution shall conform to the Cloud Solution Manufacturer’s specifications, documentation, and performance standards (including applicable license terms, warranties, guarantees, Service Level Agreements, service commitments, and credits).

A.2.1 Solution Description

The new system must include the basic elements listed below. More in-depth details are provided in the Functional, Service, and Non-Functional requirements sections below and in the RM.

Internal

- The new system must replace the current HUTS and the Model 204 database and serve as the core case processing software for ORA.
- The system must provide (i) electronic processing, (ii) automated correspondences, (iii) simple and complex rent calculations, (iv) analytics, and (v) reporting.
- Functionality must include, but not be limited to, (a) docketing of cases received, (b) case assignments, (c) workflow management, (d) registration management, (e) inventory management, (f) mobile inspections, (g) correspondence, and (h) the calculation of overcharges and major capital improvements.
- The solution must be simple enough that most elements of a workflow will be created using built-in tools or configuration options. However, the solution must also include functionality that allows custom applications or logic to handle complex rules and edge cases.
- The system must be able to integrate with other internal and external data sources, seamlessly absorb data submitted via paper applications, and enable management reporting.

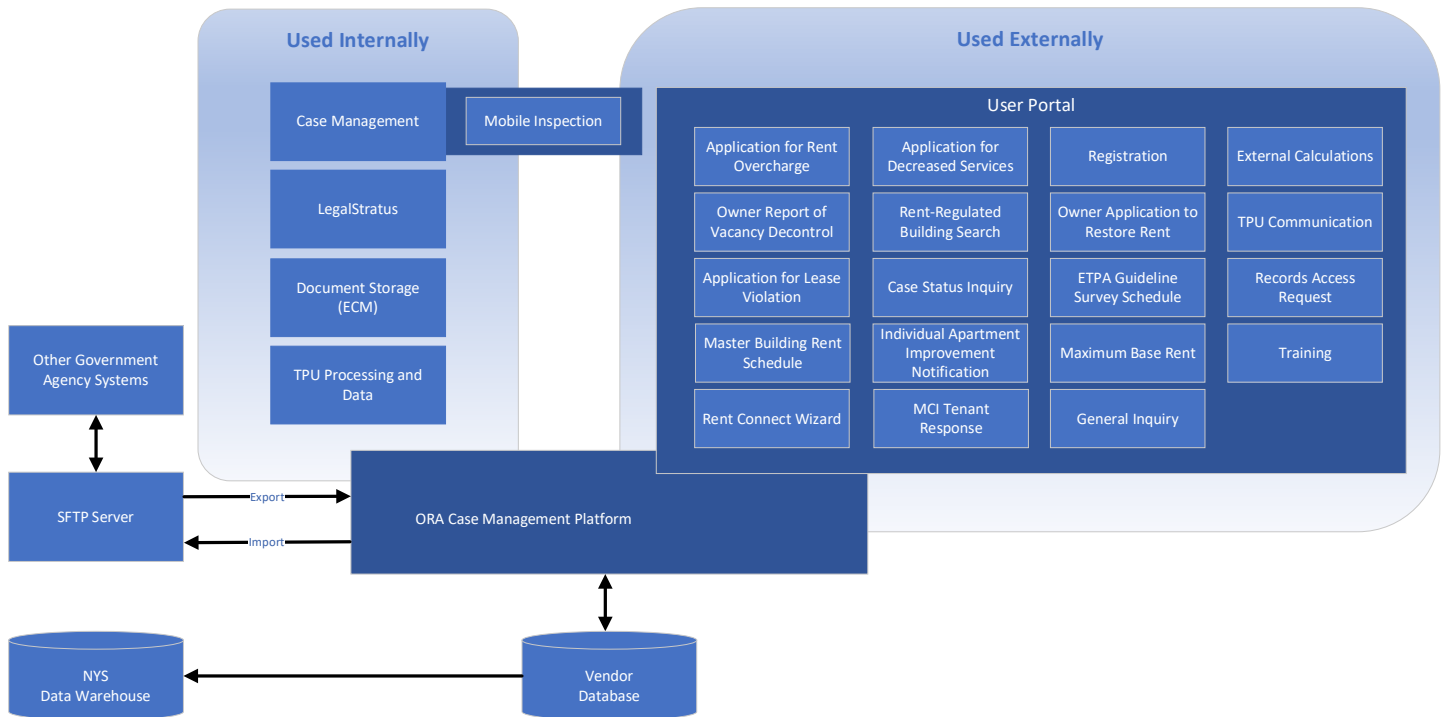
External

- A public-facing portal will allow building owners, tenants, and those empowered to act on the behalf of owners and tenants to complete all transactions online, as many transactions are currently completed using paper. This will reduce the number of general inquiries submitted via phone calls, emails, and walk-ins. The portal must still be able to accept paper-based submissions.
- The portal will serve as the one-stop shop for all parties to conduct business related to rent-regulated housing stock, from registration to case filing and processing. The portal must authenticate users and validate that they are authorized to conduct business for their specific building(s) or apartment(s). The portal must then allow authorized users to submit information, upload documentation, track statuses, receive personalized updates and deadline notifications, and communicate with ORA and TPU.
- The portal, when viewed from any desktop or mobile device, must conform to the current or future [New York State Accessibility Standards](#) and [New York State Language Access Policies](#). It must be translatable into 12 non-English languages.

The following diagram visualizes the proposed future state of DHCR’s rent regulation applications. All currently available functionality must be duplicated in the new solution.

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Figure 3, Future State Diagram



A.2.1.1 Integration

OLA and TPU each have their own case processing systems that will need to send and receive data from the new ORA system. In the future solution, ORA data must populate the appropriate fields in OLA and TPU cases and/or screens.

OLA currently uses LegalStratus as its legal case management system. LegalStratus is built on the Salesforce platform and supports representational state transfer (REST) and simple object access protocol (SOAP) web service application programming interfaces (API), and the new system must be able to send and receive updated registration and case information to and from LegalStratus via the web services API or some other messaging type supported by the platform. This integration should be bi-directional, allowing for the results of OLA cases to be updated in the new system.

The TPU case processing system is built using Oracle Apex, which also supports REST and SOAP web service APIs. The new system must be able to send and receive updated registration and case information to and from Oracle Apex via the web services API or some other messaging type supported by the platform. TPU communications to authorized external users will also be sent through the ORA solution.

In addition, although Vendors may provide recommendations for a new storage management application, the solution must integrate with Content Server, the current ECM, for legacy documentation search and retrieval.

A.2.1.2 Implementation

In previous iterations of this project. DHCR developed select BRDs to varying degrees of completion. The Vendor must begin their requirements gathering work by reviewing both the final and partial BRDs.

To facilitate an Agile implementation, DHCR will prioritize an initial high-level backlog. This may include establishing the DHCR organization in the cloud, replacing the mainframe, configuring and testing single sign-on (SSO), and other foundational tasks. The Vendor must then work with DHCR to revise the backlog once the contract starts and as work on the project progresses.

A.2.1.3 Deliverables

The Vendor must provide project management, business analysis, security, design, testing, and operations deliverables, among others, as defined in the Deliverables Matrix. The Deliverables Matrix, provided as Attachment 2, indicates which deliverables Respondents must submit with their Technical Responses, defines how often each deliverable must be updated and/or submitted after award, and describes the deliverable review process. All deliverables must follow an Agile methodology.

A.2.1.4 Staffing

The Vendor must provide staff to fulfill the following key roles:

- Engagement Manager
- Project Manager
- Organizational Change Manager
- User Experience Designer
- Lead Business Systems Analyst
- Lead Technical Architect
- Lead Developer
- Lead Tester
- Release Manager
- Data Migration Lead
- Data Scientist
- Training Lead
- Agile Coach

Responsibilities and qualifications for these key roles can be found in the Key Role Staffing Matrix, provided as Attachment 3. Additional requirements for staffing can be found in the RM and in Section A.2.3.1, Project Management.

A.2.2 Functional Requirements

DHCR has arranged the RRSN project's functional requirements into one overarching global system capability and 12 separate and distinct capabilities:

- Global System
- Registration Management
- Case Management
- Inventory Management
- ID Management
- Internal Portal
- External Portal
- Correspondence Management
- Data Management
- Interoperability
- Reporting & Analytics
- Onsite Inspection

All functional requirements point to their business significance. The selected Vendor must discover and document business details during requirements elicitation cycles as they work to implement the solution through Agile methodologies.

A.2.2.1 Global System Requirements

Global system requirements cross multiple capabilities and apply to the system as a whole.

Administrators must be able to configure and maintain the system so that all internal and external users are able to complete their rent regulation activities. Administrators must be able to manage users, data, and security; maintain and customize applications and webforms; build workflows, reports, and dashboards; and create, assign, and manage activities and tasks.

Internal users must be able to scan, sort, filter, view, search for, and store content, such as cases, orders, requests, and applications, according to permissions and business rules.

Administrators must be able to create, design, modify, and delete webforms and webform templates to provide all appropriate fields and information for users at any point in an activity. This applies to such items as cases, screens, reports, and portals, among others, and to all external and internal activities. The following table provides details on what the system must minimally allow administrators, internal users, and external users to accomplish in webforms. All

actions are in the context of DHCR business rules and permissions, and more actions may be discovered as the project progresses.

The solution must be able to perform a defined action, such as sending correspondence, at a variety of points in any process. These automatic actions may be part of a defined workflow, triggered by an initial user action, and/or scheduled based on business processes. The solution must also provide manual options as needed.

The Vendor must use business rule logic, from if/then statements to complex branching logic, to automate standard internal procedures and processes such as approvals, case creation and management, registration, and correspondence. For example, when an internal user updates a case record to reflect that all documentation has been received (or when the allowed response time has elapsed), the solution must move the case from Pending Response to Pending Assignment and send an email notification to the case's assignee.

The solution must store contact details, set parent-child relationships for relevant contacts, and provide an overview of a contact's current and historical system interactions. The solution must automatically identify if a contact is internal or external and assign a subsequent role to the contact while still allowing internal users to manually update contact details. The solution must provide the ability to upload internal contacts in bulk.

A.2.2.2 Registration Management

The solution must allow the appropriate users to create, save, edit, submit, and view registration records for buildings and apartments according to DHCR business rules. Registration functionality must include, among other processes not presented here, the following:

- The solution must assign a unique, searchable confirmation number to registration applications and associated submissions.
- When a registration is submitted, the solution must link the registration with any associated buildings and apartments already in the system.
- The solution must apply registration statuses automatically but allow internal users to update a status manually if needed.
- The solution must not allow a user to submit a new registration or select a secondary registration type, such as an add-on registration, while the initial registration is pending.

External users will be required to complete registrations electronically, and those registrations, depending on the type, will either be accepted by the system automatically or require DHCR staff review and approval before system acceptance. The solution must provide DHCR-created instructions and FAQs as well as the means for external users to request help from DHCR staff during the registration process. The solution must also allow authenticated building owners and managing agents to view any registration records for their current inventory that were submitted by past owners or agents.

Internal users must be able to electronically assist external users with registrations, but internal users must also have the ability to create and process a registration manually if the circumstances require. Internal users must be able to review potential registration duplicates in batch, merge registrations when duplicates are found, and indicate when registrations are not duplicates. The solution must allow internal users to lock or unlock registrations for editing as needed.

The solution must allow internal users to indicate if a registration submission or record should be shared with agencies or staff external to DHCR or ITS. Select users from external agencies must be able to view a read-only version of any shared registration record.

A.2.2.3 Case Management

A case is defined as a rent-related investigation and includes any activities, contacts, documents, and information associated with it.

The solution must allow for the creation of both manual and electronic cases. For example, although the system must electronically create the resulting case when an owner or tenant files an application through the public portal, the system

must also allow a DHCR user to manually create any case(s) as needed. For every case created, the solution must autogenerate and display a unique identifier that is formatted to align with DHCR business rules.

DHCR uses at least 77 case types as well as additional subtypes. Details for these 77 case types, including case name, case description, and who can create each case, can be found in the 'Case Types' tab of the RM.

The solution must provide a duplicate-matching algorithm that operates during case creation and identifies potential duplicate cases. The solution must then allow internal users to review potential duplicates, merge cases when duplicates are found, and indicate when cases are not duplicates. The solution must also store check numbers that are associated with records and run a duplicate-matching algorithm that identifies if the check is a duplicate.

The solution must be able to assign cases to users automatically, either in bulk or individually, while allowing for the manual assignment of certain cases. DHCR supervisors must be able to view all cases and queues and assign or re-assign cases as needed.

The solution must allow both internal and external users to view and edit any case details for which they have the appropriate permissions. However, to manage their case workflows, internal users must also be able to:

- Organize cases into a DHCR-created hierarchy
- View their assigned cases and any related activities and tasks in one location
- Search across the system, view search results, and open relevant records from the search results list
- Assign and unassign attributes, such as priority and status
- Schedule inspections

The solution must create both system-initiated and user-initiated case correspondence that is based on DHCR-created templates. The solution must populate select merge fields within each correspondence with specified details from its case. While internal users must be able to prevent a response from being sent automatically (if circumstances require), once the correspondence is fully created, the solution must send it to one or more designated recipients. For example, an Administration Determination would be sent to all associated parties, while a request for additional information would only be sent to the relevant tenant(s), owner(s), and/or delegate(s). All correspondence referencing a case must contain the case link or URL to allow an external user to open and reference the case.

A.2.2.4 Inventory Management

Buildings and apartments subject to rent regulation must be inventoried and tracked throughout their lifecycle. The solution's database must hold millions of inventory assets, and each asset may have hundreds of attributes and a significant number of files attached.

The solution must recognize a minimum of ten inventory asset types, such as buildings, units, and complexes, among others, and DHCR supervisors must be able to configure the hierarchy of and dependencies between inventory assets. Each inventory asset must be linked to the appropriate tenants, owners, and/or delegates, however that may change throughout an asset's lifecycle, and include the appropriate points of contact. Internal users must be able to edit and delete inventory assets according to their permissions, and the solution must allow inventory assets to be edited, merged, subdivided, and combined, both individually and in bulk.

Examples of inventory asset attributes include address, owner name, tenant name, managing agent, and services included in the rent, among others. Some attribute fields will need multiple values. The solution must validate an attribute's format using third-party data standards, when possible, to ensure the correct format is used.

The solution must allow authorized external and internal users to register an inventory asset and save drafts of the registration according to the permissions and business rules established by a DHCR supervisor. To preserve data integrity, the solution must prevent users from editing a submitted registration; edits must be made through registration amendments. The solution must also prevent the registration of duplicate inventory assets.

The solution must systematically track and store all inventory asset activities, as well as an activity's metadata, and compile an activity history that users can view, search, sort, and filter. Examples of activities include registrations, inspections, cases, amendments, and orders, among others. Internal users must also be able to enter an activity manually.

A.2.2.5 ID Management

The solution's authentication processes must adhere to NYS ITS Policy [NYS-P20-001](#), Digital Identify Policy, or its successor, and include both issuing and managing identity credentials and maintaining and protecting digital identities. The solution must automate the identity management verification and assignment process.

Internal users, defined as DHCR and ITS staff, must be able to access the solution according to their designated role.

External users, defined as tenants, tenant delegates, owners, owner delegates, trade organizations, and government staff that work outside of DHCR and ITS, must be authenticated before accessing the solution. Once the solution has authenticated a user for a given set of transactions at the appropriate Identity Assurance Level (IAL), DHCR supervisors must be able to control the user's role by modifying, configuring, and/or suspending permissions. The new system must allow any currently authenticated user to retain their existing, appropriate credentials.

The solution must require that every tenant, owner, and delegate create a profile prior to performing any action. A delegate must be approved by an owner or a tenant and can initiate their authentication process by claiming representation of the owner or tenant. However, owners and tenants must be able to modify each of their delegate's permissions.

Unauthenticated users can currently perform a limited number of actions, such as submitting general and case status inquires to the Rent Information Bureau, filing select cases through Rent Connect, and performing a rent-regulated building search. Additional authorizations for unauthenticated users will be needed if new user roles are discovered.

DHCR maintains a Roles and Responsibilities Matrix that includes each unit's role names, permissions, and allowed actions and will share the matrix with the successful Vendor.

A.2.2.6 Internal Portal

The Internal Portal must allow authorized internal users to perform business activities such as accessing rent regulation data and communicating with external users. Specifically, authorized DHCR and ITS Data Management users must be able to search for, sort, filter, and view any of the following items, according to their permissions:

- Cases
- Correspondence
- Inventory assets and inventory asset data
- Orders and notices (orders and notices that are linked to cases should also be viewable from those cases)
- Record requests from external users
- Any submissions, draft or otherwise, from external users
- Contacts (such as a building owner or staff at other agencies)

Users must be able to search for items by using unique identifiers, date(s), related cases, inventory asset IDs, and keywords, among other attributes. In addition, users must also be able to respond to and interact with their correspondence and fulfill record requests within the Internal Portal.

The Internal Portal must display a work queue that provides an entry point for and lists, in a hierarchy configurable by DHCR, a staff member's assigned tasks. DHCR users must also be able to organize records lists, such as inventory registrations or inventory history, through configurable views. View functions must include specifying a default view, saving, editing, and sharing.

The Internal Portal must allow authorized users to access and use the Overcharge Calculator, both attached to and independent of cases. Because the business rules that govern each rent and overcharge calculation contain multiple interacting layers, the Overcharge Calculator will be one of the solution's most complex components. It must compute the correct rent for a given inventory asset based on up to one hundred variables, including data points from the inventory asset record and data points from past cases, orders, notices, and other actions. The Overcharge Calculator's business rules must be updated to reflect any relevant changes in regulations throughout the project.

DHCR will provide Vendors with a sample of the most complex calculations the system will need to perform, and Vendors will be expected to demonstrate how their solutions will calculate correct answers. Additional details on the demonstration can be found in Section F.2.5, Evaluation and Selection Process, of this RFQ.

A.2.2.7 External Portal

The External Portal must be a unified, full-service portal where owners, tenants, non-DHCR staff, and any delegates will access and interact with their rent regulation data and submit information to and correspond with DHCR. This includes the use of chatbot software. Every authenticated external user must be able to set their communication preferences and view and update their profiles and any re-usable uploads.

The External Portal must allow authenticated external users to complete permission-based tasks for their cases, correspondence, inventory assets, and any other relevant records. Basic External Portal functions include uploading, downloading, and printing documentation, saving drafts, editing active records, accessing a calculator for basic tenant and owner calculations, and searching for, sorting, filtering, and viewing records. All authenticated external users must also be able to request access to a particular record and view any in-system activities that delegates conduct on their behalf.

The full set of records that an external user is authorized to access will be determined by a complex and multidimensional combination of permissions, workflows, and business rules, some of which are currently known and some of which will be discovered during implementation. For example, different users will require different specialized tasks. An owner or their delegate must be able to register an inventory asset, while a tenant or their delegate must be able to file a case against an owner. A tenant must be able to see cases that pertain to their whole building, but that same tenant would not be able to see a case that applies only to the apartment next to theirs. Because of this complex combination of tasks and permissions, the solution must be flexible enough to accommodate process changes and extensions both throughout the implementation period and during the operational period.

A.2.2.8 Correspondence Management

Correspondence will be sent via email, text, and/or postal service. The solution must send, store, track, and receive all correspondence, including notifications and paper-based correspondence, from both external and internal users. Users must be able to search for, view, and filter any sent and received correspondence that they have permission to access. The solution must also contain a historical accounting of each correspondence item and its metadata.

DHCR supervisors must be able to configure workflows that trigger the sending of certain types of correspondence once all specified criteria are met. DHCR supervisors must also be able to stipulate which types of correspondence as well as which types of correspondence revisions need manager approval before being sent.

The solution must allow DHCR supervisors to create and store branded and non-branded templates and boilerplate response language that can be retrieved, edited, or customized by internal users. The solution must distinguish between draft, final, and sent versions and perform spelling and grammar checks on free-form text within draft correspondence.

All email correspondence must be generated from an hcr.ny.gov email domain and use a generic, non-staff email address, and internal users must be able to email external users from a no-reply mailbox. The solution must also print postal correspondence in a letter layout format with specific address and date information and mailing address labels.

A.2.2.9 Data Management

The solution must have the ability to migrate existing data from the legacy system(s) to the new solution. The solution must also identify, schedule, and validate the data it sends to the NYS Data Warehouse (DW).

The Vendor is responsible for maintaining and assuring the accuracy and consistency of RRSN data over its entire lifecycle. To support RRSN data, the solution must:

- Digitize prefilled documents and populate record fields accurately
- Prevent more than one user from editing a record at any given time
- Track and display the full history of any changed information on any record
- Provide the ability for DHCR users to manage all closed records
- Identify common fields with unique values across all case and record types
- Allow users to search, log, and maintain a file's physical location (until the solution moves to electronic-only files)
- Comply with all New York State and DHCR retention and archiving standards

In addition, the Vendor must provide two data deliverables (an enterprise-level data model and a Data Management Plan) as described in the Deliverables Matrix and in the RM.

A.2.2.10 Interoperability

The solution must integrate with both external entities and internal DHCR applications and systems as needed for business operations. Data must be sent, retrieved, validated, and populated into the appropriate fields in the solution in real-time. Examples include integrating with NYC DOB so users can validate BINs for building addresses and integrating photos of buildings into the appropriate records. The solution must also securely transfer data file extracts with external entities on a basis specified by DHCR.

Internal users must be able to view, filter, and sort data and access all integrated tools and documentation necessary to complete their tasks. Examples of required tools include the MBR Calculator, which must be provided by the Vendor, and the O365 Outlook Calendar, which individual DHCR staff must have the ability to sync to if requested. Internal users must also have the ability to search, sort, filter, and run reports on specified cases.

Although the solution must allow internal users to make manual adjustments to address data as needed, the solution must:

- Validate addresses against a list of confirmed, correct addresses as listed by the United States Postal Service (USPS) or similar service
- Normalize any address to conform to USPS standards
- Recognize and accommodate unique addresses in the Borough of Queens
- Accommodate buildings that have multiple addresses

A.2.2.11 Reporting and Analytics

The solution must provide the ability to sort, filter, group, sum, and aggregate data while ensuring that all aspects of data access and visibility are dependent on the user's role and on appropriate business rules. The solution must also send data to the NYS DW for analytics work.

The Vendor must create pre-defined report templates based on DHCR specifications with DHCR branding. The solution must provide internal users with the ability to define reporting criteria, select preferred reporting formats, and generate reports. This includes ad hoc reports and standardized reports such as Monetary Transactions and Registration Counts. The solution must also auto-generate scheduled reports on a DHCR-specified cadence.

The solution must also allow external users to create certain types of reports according to DHCR business rules. All internal users must be able to print reports, export reports in Excel (CSV or XLSX) or PDF format and save and retrieve previously created reports and templates in the system as permissions allow. The solution must also provide internal users with the ability to create reporting dashboards from selected metrics, such as the number of open and closed cases over a given period.

The solution must provide the ability to schedule approximately 12 data file extracts for transfer to external agencies. For example, the solution must send annual building and tenant registration data for rent-regulated units to NYC DOF.

A.2.2.12 Onsite Inspection

For each onsite inspection request that has been approved, a DHCR inspector travels to the selected building and/or apartment and reviews a specified list of issues and items. Inspections may involve evaluating the condition of one or more rooms, features, and/or building elements, such as appliances, walls, or windows. Although an inspection can be performed for any case, most cases do not require an inspection during their lifecycle.

For those cases that do require an inspection, the solution must allow users to manage inspection assignments, work through inspection tasks, and access case content on a desktop system or mobile device. Users must be able to work offline as needed.

The solution must be able to automatically assign and organize inspections based on DHCR business rules and on certain parameters, such as coverage area and building location. The solution must be able to efficiently calculate, and

if necessary, re-calculate, each inspector's route, and the Inspection Supervisor and Inspection Unit Director must be able to identify any inspector's location during work hours. The solution must geocode data and provide smart location services.

The solution must be able to send inspection notices to any combination of internal and external users. For example, sending a Notice of Inspection to a building owner and sending an internal inspection update to DHCR staff would be triggered by different circumstances and require different timeframes and workflows.

For each inspection, the solution must pre-populate editable information, such as tenant, owner, and case type, and generate required items and questions. For example, rent overcharge cases will require the solution to ask a series of questions regarding IAs such as new flooring or new wiring. The solution must provide the ability to upload documents and pictures and attach them to an inspection report.

Once an inspection has been completed, internal users must be able to generate, edit, save, and submit inspection reports. The solution must prohibit certain changes to inspection reports while also allowing users to generate new inspection reports for amended items, all according to DHCR business rules. Because both initial and amended inspection reports will be subject to FOIL, the solution must be able to record report activity history.

A.2.3 Service Requirements

DHCR has arranged the RRSB project's service requirements into five main capabilities:

- Project Management
- Solution Design
- Solution Testing
- Release Validation
- Operational Support
- Disaster Recovery
- Training
- Transition

One ID Management requirement regarding security and access design is also grouped with the service requirement classification.

Specific requirements for these service capabilities, beyond the narratives below, can be found in the RM.

A.2.3.1 Project Management

The Vendor is solely responsible for the successful delivery of all contracted deliverables and services, including third-party services. The Vendor is required to establish and maintain compatibility with DHCR's standard suite of desktop tools for all project plans and documentation. This includes the electronic submission of all deliverables and contract correspondence, such as transmittal letters, via DHCR's standard suite of desktop tools in their native format. The Vendor must also provide project data and supporting documentation when requested and work with other Vendors and consultants if they are hired by DHCR to assist with the RRSB project.

The Vendor must develop all project management and requirements analysis deliverables and documents in collaboration with DHCR, maintain and update all deliverables and documents through the end of the contract term, and submit any updates to approved plans and documents to DHCR for review and approval. Required project management and requirements analysis deliverables, as described in the Deliverables Matrix and in the RM, include:

- Deliverable Expectations Document (DED)
- Project Management Plan
- Project Schedule
- Executive Status Report
- Team Project Status Report
- Agile Methodology Plan
- Requirements Analysis and Management Plan
- Business Requirements Documents (BRD)
- Requirements Traceability Matrix (RM)
- Product Backlog

The Vendor must make the product backlog available to DHCR and ITS staff throughout the lifecycle of the project. The Vendor must use their own tool, subject to DHCR approval, to maintain the product backlog and provide DHCR with access to and training on the tool. The Vendor must also work in coordination with DHCR to agree upon and document appropriate actions if sprint expectations are not met. While small, incidental changes may be rolled over to the next sprint, multiple failed sprints (i.e., not accepted by DHCR) may result in corrective action plans or team member replacement.

The Vendor must provide any and all skilled staff, including DHCR-required and Vendor-proposed key staff, that are necessary to perform all required tasks, produce all required deliverables, and meet all requirements as defined in this RFQ. All staff must be compliant with NYS-mandated training requirements and available to perform implementation work on site in a manner agreed to by DHCR Project Leadership. This will include requirements sessions, calculation work, and key planning and status meetings.

The Vendor must ensure the continued availability of key staff for the duration of the contract. The Vendor cannot replace key staff without the prior written approval of DHCR, and DHCR must have the ability to remove key staff from the project at DHCR Project Leadership's discretion. Resumes for replacement key staff must be submitted to DHCR for review and approval a minimum of two weeks prior to the replacement staff's start date. If DHCR does not approve a key staff member, the Vendor must continue to submit candidates for replacement staff for DHCR approval. All replacement key staff must meet the qualifications laid out in the Key Role Staffing Matrix. If the Vendor is unable to maintain a stable and qualified set of resources, they may be subject to contractual remedies.

Vendor staff must utilize only DHCR-provided workstations to connect to the DHCR network and systems while on DHCR premises. Vendors will not be allowed to access any DHCR systems with their own devices while on DHCR premises for security purposes.

A.2.3.2 Solution Design

The solution must operate on all desktop and mobile web browsers and platforms supported by ITS. Internal users must be able to access the solution in real time from desktop and laptop computers connected to the DHCR network. The solution must be available in multiple internal environments, such as development, test, staging, and production.

The solution must be in alignment with all NYS standards. The solution must conform to the current or future [New York State Accessibility Standards](#), including Americans with Disabilities Act standards, and to [New York State Language Access Policies](#).

The Vendor, or a third party contracted by the Vendor, must host the solution in a government cloud. All DHCR data must be segregated from other customer data. DHCR data must not be made available outside the borders of the continental United States, either physically, electronically, verbally, or in any other form or manner.

The Vendor must configure design elements and develop any customizations and functionality needed to meet DHCR's business requirements. The Vendor must also provide support for any configured or customized pieces in future patches or builds. During all design and development efforts, the Vendor must:

- Work collaboratively with DHCR, ITS, and any third-party staff, especially while designing system interfaces
- Hold sessions with DHCR and ITS staff to review and discuss out-of-the-box system functionality, standardizations, and required configurations
- Review, update, and obtain DHCR and ITS sign-off on all System Design Specification Documentation and Technical Specification Documentation
- Conduct periodic walkthroughs and/or demonstrations with the appropriate DHCR and ITS staff
- Create and deliver all work products necessary to depict, describe, and implement the completed design of the solution
- Ensure the Internal and External Portals contain the same data and information
- Ensure all designed items are consistent with the current look and feel of NY.GOV and DHCR branding

A.2.3.3 Solution Testing

The Vendor must work collaboratively with both DHCR and ITS to complete the following testing activities:

- Plan and schedule testing
- Develop test scripts
- Continuously update standard test scenarios, cases, and scripts
- Ensure that each functional requirement is traced to one or more test cases
- Develop, validate, and finalize user acceptance test scenarios and cases
- Complete full and comprehensive testing

The Vendor must provide two discrete testing environments, an environment for calculation testing and an environment for development and unit testing. In addition, the Vendor must also provide one or more environments for incremental, interface, and accessibility testing; user acceptance, security, failover, disaster recovery, performance, load, and stress testing; and interface and end-to-end testing.

Required testing deliverables include a Test Plan, Strategy, and Approach and a Defect Remediation Plan, as described in the Deliverables Matrix and in the RM. The Vendor must also send DHCR each test type's test results for review and approval and provide DHCR and ITS with full access to all user acceptance testing (UAT) activity and to all test plans, documentation, processes, procedures, standards, and results.

If any system component or function fails a test, the Vendor must correct and validate the component or function before re-releasing it to DHCR for re-testing. The Vendor must also document, track, report, and resolve all defects identified as critical during testing. Likewise, prior to exiting UAT, the Vendor must resolve all defects with critical and high severity levels and develop a plan and schedule for resolving all defects with severity levels of medium and low.

Upon the successful completion of a UAT iteration, the Vendor must send DHCR a high-level UAT overview for review and approval. This overview must list significant UAT events and activities, present the successes or failures of the UAT iteration, specify the scope of the testing, detail any risks and issues that were raised during UAT, and summarize all defects by priority and severity.

A.2.3.4 Operational Support

The Vendor must operate, maintain, and support the system by managing all environments and ensuring that the system remains in compliance with all SLAs and requirements in this RFQ and its attachments. Examples include system and interface updates and upgrades, release testing, and monitoring of items such as system activities, functions, interfaces, and any failures. The Vendor must be prepared to support production work throughout the entire project. The Vendor must develop and submit an Ongoing Operations and Support Plan, as detailed in the Deliverables Matrix and in the RM, and adhere to the performance standards in the SLA Matrix, provided as Attachment 4.

The Vendor must provide a service desk during standard business hours that covers all components of the system. The service desk must include a formal ticketing system that can be accessed by both DHCR and ITS staff as well as an email mailbox and a toll-free phone number. The Vendor must also provide 24-hour emergency service desk support for incident resolution, data restoration, security breaches, and other critical issues.

The Vendor will have the sole responsibility for all hosted environments and infrastructure services required to operate the system. The Vendor must collaborate with DHCR and ITS and remain the single point of contact for the length of the contract.

A.2.3.5 Adherence to Performance Levels in the SLA Matrix and Terms of the OGS Backdrop Contract

By submitting a response to this RFQ, the Respondent, if selected, agrees to all performance levels in the SLA Matrix Attachment 4, as written. While Respondents are strongly discouraged from making any deviations to the performance levels, DHCR may accept deviations of performance levels if they are beneficial to the State. The Respondent, if selected, agrees to all the terms and conditions in their backdrop contract executed with the NYS Office of General Services. DHCR may accept deviations of terms/conditions if they are beneficial to the State. Any proposed deviations which may be beneficial to the State must be provided in the attached document labeled as Rider Deviations Template attached hereto as Attachment 12. Respondents must cite the relevant section of the RFQ solicitation and the respective attachment. Authorized User retains the right to request clarification and additional documentation regarding the proposed deviation(s) and/or risk assessment.

A.2.3.6 Disaster Recovery

The Vendor must develop and submit a Disaster Recovery Plan, as detailed in the Deliverables Matrix and in the RTM and carry out the services outlined in the DR Plan. The Vendor must test the DR Plan annually, or at DHCR request, and send the test results to DHCR. DHCR and ITS must be included in all planning and testing activities.

The DR site must match the production system’s specifications, be able to run all existing services, and have redundancies in place that are separate from the production site’s services. For hosted implementations that utilize third-party infrastructure services, the Vendor must contract with the third party for active node failover services. The DR site and all servers that host program data must be located in the continental United States, with redundant servers located at least 50 miles from each other and/or in geographically diverse areas.

The system must support offsite remote file backups: the system and database(s) must be backed up daily, or at DHCR request, and each system and database backup must be kept for a period of one month. The system’s recovery time objective (RTO) and recovery point objective (RPO) must each be one day or less.

All DR activities must also comply with the security requirements in this RFQ and RM.

A.2.3.7 Training

The Vendor must base all training on an Agile implementation: as the Vendor configures new functionality, they must create and/or update all relevant training materials. The Vendor must also continue to update all training materials as changes are made once the solution is in production.

Depending on the subject, training will apply to internal and external users, incorporate a variety of instructional methodologies, such as synchronous, on-site, and virtual, and include materials such as manuals and tutorials. To ensure consistency when implementing and iterating the RRSM project, the Vendor must also train and support UAT participants, perform Agile methodology training for DHCR staff, and facilitate technical business function knowledge transfers to DHCR and ITS staff.

The Vendor must coordinate, track, and analyze internal training participation for DHCR management. This includes developing pre- and post-training surveys, in partnership with DHCR, and determining appropriate follow-up actions. DHCR will create and maintain a training repository for the Vendor to post training artifacts, including training calendars, recordings, participation trackers, and all training documentation.

The Vendor must submit three training deliverables (a Knowledge Transfer Plan, Training Plan, and System User Manual) as described in the Deliverables Matrix and in the RM.

The solution must also provide in-app contextual training functionality, such as alerts, video capability, and in-line help text, for both internal and external users. The Vendor must craft in-line help text and in-app contextual training in partnership with DHCR.

A.2.3.8 Transition

The Vendor must migrate data and transition to new system functionality during each sprint by completing the following steps for each iteration.

Table 3, Iterative Transition Tasks

Iterative Transition Tasks	
Task Name	Task Description
Data Cleansing	The Vendor must collaborate with DHCR and ITS to plan for and conduct data cleansing of legacy system data. This includes both HUTS data, which starts in 1984, as well as older data that was created outside of and subsequently migrated into HUTS.

Iterative Transition Tasks	
Task Name	Task Description
Data Migration	The Vendor must provide the tools required to perform all data migration activities and migrate all applicable data, including IAL levels, external user accounts, and templates.
Data Migration Testing	The Vendor must perform data migration testing using production data and remove the testing production data after testing and validation has been completed. The Vendor must perform a data gap analysis, provide recommendations for resolution to DHCR and ITS for review and approval, and collaborate with DHCR and ITS to resolve all data migration errors.
Data Verification	The Vendor must collaborate with DHCR to verify that all records have been accurately and completely migrated.
Go-Live Support	The Vendor must participate on-site during the transition to go-live.
Stabilization	The Vendor must provide on-site stabilization and support services for an agreed-upon period after go-live. Vendor staff who performed configuration and customization services for go-live must be available throughout the stabilization period.
Functionality Roll Back	If any functionality does not perform as required, the Vendor must roll back the applicable functionality and provide DHCR with both a root cause analysis and an updated Cutover and Transition Plan.

The Vendor must also submit two transition deliverables (a Data Migration Plan and a Cutover and Transition Plan) as described in the Deliverables Matrix and in the RTM.

A.2.4 Non-Functional Requirements

DHCR has arranged the RRSB project’s non-functional requirements into four key capabilities. Detailed information may be found in the RM.

- Security
- ID Management
- Data Management
- Solution Performance

A.2.4.1 Solution Performance

At go-live, the solution must support the following users, potentially subject to Vendor feedback:

- A minimum of 350 internal users
- A minimum of 3,000,000 external users
- A minimum of 175 concurrent internal users
- A minimum of 1,500,000 concurrent external users

The solution must also support any increase in the number of internal and/or external users.

For simple transactions, such as screen flips, the response time must be as close to instantaneous as possible. For complex transactions, such as running reports on large datasets, the response time must be less than five seconds. The solution must also have the capacity to support and maintain an increasing transaction size and/or number of users without impacting response times.

The solution must maintain 99.5% availability at all times, aside from downtime for scheduled maintenance. The solution must also maintain 99.9% availability during the peak hours of Monday through Friday during the hours of 6:00 a.m. ET through 8:00 p.m. ET.

Additional details can be found in the SLA Matrix.

A.2.4.2 Security

The Vendor and its employees and subcontractors must comply with all security requirements and service-level agreements (SLA). This includes following New York's Secure Systems Development Lifecycle (SSDLC), cooperating with DHCR and any independent third-party Vendor(s) engaged by DHCR, and remaining compliant with all applicable state and federal requirements, regulations, standards, policies, mandates, and industry best practices such as:

- NYS ITS Policy NYS-P10-006, Identity Assurance Policy
- NYS ITS Policy NYS-S13-004, Identity Assurance Standard
- NYS ITS Policy NYS-S14-003, Information Security Controls Standard
- NYS ITS Policy NYS-S14-005, Security Logging Standard
- NYS ITS Policy NYS-S14-013, Account Management Access Control Standard

The Vendor must develop and submit the following plans and assessments, as detailed in the Deliverables Matrix and in the RTM:

- Annual third-party system security assessment
- Site and System Security Plan
- Security Incident and/or Breach Response Plan

The Vendor must submit complete plans and obtain DHCR sign-off on all security plans and plan updates before proceeding or continuing with work.

The system must meet the security requirements for Moderate Impact Level Systems set by the National Institute of Standards and Technology (NIST). In the event of any apparent conflict between New York standards and NIST standards, the more stringent requirements should be applied unless otherwise agreed to by DHCR. Prior to contract award, the system and its environment must have also attained a Federal Risk and Authorization Management Program (FedRAMP) Authorization to Operate (ATO) at a Federal Information Security Management Act (FISMA) moderate level or higher.

DHCR is not requiring Consensus Assessment Initiative Questionnaires (CAIQ) in response to this RFQ.

A.3 Cloud Service Model

The Vendor must provide a Salesforce cloud-based software-as-a-service (SaaS) solution.

A.4 Cloud Deployment Model

The Vendor must deploy the Salesforce solution in a government cloud.

A.5 Data Categorization

In conjunction with ITS, DHCR determined that the RRSB project's data and information are classified as moderate.

Data categorization elements that guided the classification included Personally Identifiable Information (PII), information availability, unauthorized disclosure of information, unauthorized access of sensitive information, and unauthorized modification or destruction of information.

The completed RRSB Information Classification spreadsheet is provided as Attachment 11.

As noted in the introduction of this RFQ, any Vendor that responds to this RFQ is expected to hold insurance policies and limits required for moderate risk as defined in [Appendix J - Contractor's Insurance Requirements](#). Any Lot 3 Vendor that currently holds insurance policy limits for only low risk must, as a condition to contract execution, either partner with a prime Vendor who holds insurance policy limits for moderate risk or demonstrate to DHCR that they have increased their insurance limits as required by OGS for moderate risk data.

A.6 Data Ownership

The Authorized User shall own all right, title, and interest in Data.

A.7 Data Location

All Data in use, at rest or in transit, must remain in CONUS.

A.8 Encryption

The Vendor must ensure that the solution meets the minimum standards and requirements for encryption, as detailed in NYS ITS Policy [NYS-S14-007](#), Encryption Standard, or its successor. All data must be encrypted while both at rest and in transit.

A.9 Authentication Tokens

The Vendor must ensure that authentication tokens comply with the requirements set forth in NYS ITS Policy [NYS-S14-006](#), Authentication Tokens Standard, or its successor.

A.10 Application Programming Interface or Self-Service Electronic Portal

The Vendor must provide REST and SOAP APIs as needed. Of note are OLA's and TPU's case processing systems, as described in Section A.2.1.1, Integration.

B. STATEMENT OF WORK

B.1 Implementation of Salesforce Cloud Solution

The Vendor must configure the solution so that it fully meets all DHCR business requirements, processes, and workflows.

B.2 Recurring Services

In addition to any and all recurring services listed in Section A.2 above, the Vendor must maintain all External Portal training materials, such as videos, text instructions, and FAQs. To keep materials from becoming out of date, the Vendor must update all relevant materials as each change to the solution is completed.

Vendors are requested to provide hourly costs for this service.

B.3 Transfer of Data

Specific, iterative data migration and transition tasks can be found in the non-functional transition capability, Section A.2.4.1.

At the end of the agreement and/or at the request of the Authorized User, the Contractor must transfer Data in a manner and timeline specified by the Authorized User. This transfer may include, but is not limited to, conversion of all Data into or from an industry-standard format(s), such as CSV, JSON, or XML. In the event the Contractor possesses Data that does not need to be transferred to the Authorized User, the Contractor must destroy that Data in accordance with NYS ITS Policies [NYS-S13-003](#), Sanitization Secure Disposal Standard, and [NYS-S14-003](#), Information Security Controls, or their successors.

The Contractor cannot charge for the transfer of Data unless the charges are provided for in response to this RFQ.

B.4 Transfer of Application

Upon implementation of the application or any part thereof, DHCR shall be vested with all proprietary rights and ownership of said application or part thereof and no proprietary right and/or ownership of the application or part thereof shall remain or vest with the Contractor.

C. AUTHORIZED USER TERMS AND CONDITIONS

C.1 Data Breach – Required Contractor Actions

In the event of a data breach, the Contractor must follow the DHCR-approved Security Breach Response Plan. All actions taken as a result of a security breach must comply with the requirements of applicable breach policies and laws, including the Cyber Security Citizen's Notification Policy contained within the DHCR Information Security Policy, the [NYS Information Security Breach and Notification Act](#) (NYS residents and non-NYS residents), NYS ITS Policy [NYS-S17-003](#), Notification Standard for Certain Types of Regulated Data, or its successor, and all applicable DHCR, state, and federal policies and regulations as well as those outlined in this RFQ.

In addition, the Contractor must provide 24-hour service desk support and send hourly reports to DHCR for the duration each of critical and/or emergency issue.

Unless otherwise agreed to in the Authorized User Agreement, if the Contractor is unable to complete the corrective action within the required timeframe, the remedies provided in Appendix B, Section 52, Remedies for Breach shall apply and (i) the Authorized User may contract with a third party to provide the required services until corrective actions and services resume in a manner acceptable to the Authorized User, or until the Authorized User has completed a new procurement for a replacement service system; (ii) and the Contractor will be responsible for the reasonable cost of these services during this period.

C.2 Authorized User Access to Data

The Authorized User shall have access to its Data at all times through the term of the Authorized User Agreement.

The Authorized User shall have the ability to import or export Data in piecemeal or in its entirety at the Authorized User's discretion at no charge to the Authorized User. This includes the ability for the Authorized User to import or export Data to/from other Contractors.

C.3 Contractor Access to Data

The Contractor shall not copy or transfer Data unless authorized in writing by the Authorized User. In such an event, the Data shall be copied and/or transferred in accordance with the provisions of this Section.

The Contractor shall not access any Data for any purpose other than fulfilling the services required in this RFQ. The Contractor shall be prohibited from data mining, cross tabulating, monitoring the Authorized User's Data usage and/or access, or performing any other Data analytics other than those required within the Authorized User Agreement. At no time shall the Contractor or any party related to the Contractor copy, disclose, or retain any Data or processes (e.g. workflow, applications, etc.) that are owned or used by the Authorized User.

The Contractor will be allowed to perform industry-standard backups of Data. Documentation of each backup must be provided to the Authorized User upon request.

A court order for specific Data is required for the Contractor to release any DHCR Data to a federal, state, or local authority. If a federal, state, or local authority submits a valid court order for the Contractor to release Data, the Contractor must notify DHCR that its Data has been requested and will be released. DHCR will not accommodate requests for large, unspecified data searching and/or data mining.

C.4 Suspension of Services

During any period of suspension of service, the Authorized User shall have full access to all Data at no charge. The Contractor shall not take any action to erase and/or withhold any Authorized User Data, except as directed by the Authorized User.

C.5 Expiration or Termination of Services

Upon expiration or termination of an Authorized User Agreement, the Authorized User shall have full access to all Data for a period of 60 calendar days. During this period, the Contractor shall not take any action to erase and/or withhold any Data, except as directed by the Authorized User.

C.6 Access to Security Logs and Reports

DHCR does not expect that access to security logs will be needed. In the event DHCR does request security logs, TXT or CSV files are sufficient.

C.7 Contractor Performance Audit

DHCR reserves the right to audit the solution's performance metrics, as described in the SLA Matrix, on a monthly basis. The Contractor must provide the appropriate interfaces and/or reports for DHCR-authorized representatives to review performance metrics.

C.8 Modification to Cloud Service Deployment Model, Service Model, and/or Initial Functionality Within an Authorized User Agreement

As Cloud services can be flexible and dynamic, delivery mechanisms may be subject to change. This may result in changes to the deployment model, service model, functionality, or SKU. The OGS and Authorized Users require notification of any such changes to ensure security and business needs are met.

Any changes to the deployment model, service model, functionality, or SKU (e.g., PaaS to IaaS) must be provided to OGS via Appendix C - Contract Modification Procedures.

In addition, notification must be provided to the Authorized User for review and acceptance prior to implementation. Any changes to the Authorized User Agreement will require the Authorized User to re-assess the risk mitigation methodologies and strategies and revise the Authorized User Agreement as needed.

D. PRE-BID CONFERENCE, QUESTIONS, AND AMENDMENTS

D.1 Pre-Bid Conference

A non-mandatory pre-bid conference will be held on the date specified in the Questions and Other Events section of this RFQ. The conference will be held remotely. Respondents may pre-register by emailing contractunitinfo@hcr.ny.gov two days prior to the Pre-Bid Conference with the company name, email address and phone number of the attendee. Any changes to conference details will be made available on DHCR's website and COMeT, the OGS Centralized Online Management for eProcurement Tool before the conference.

Respondents are encouraged to submit written questions to be discussed at the pre-bid conference. Written questions are to be submitted a minimum of two (2) business days prior to the pre-bid conference date. DHCR will also accept and answer questions during the pre-bid conference.

Please note that the conference will be recorded for **agency use only**.

Specific Webex meeting details can be found in the box below.

RRSM RFQ Non-Mandatory Pre-Bid Conference

October 23, 2023 | 2PM, Eastern Time

Join from the meeting link

<https://meetny.webex.com/meetny/j.php?MTID=m55f1e13cfdfebdae25b05feaf3824afc>

Join by meeting number

Meeting number (access code): 1611 24 3497

Meeting password: jDGvx5QVH22

Tap to join from a mobile device (attendees only)

+1-518-549-0500,1611243497## US (English Menu)

D.2 Questions

Interested Respondents are strongly encouraged to submit questions as early as possible. To submit questions or requests for clarification regarding this RFQ, Respondents must use the questions field provided on COMeT. Respondents should include the relevant document titles, section numbers, and/or page numbers to help facilitate review. Respondents must submit questions on or before the specified Deadline for RFQ Questions cited in the Questions and Other Events section of this RFQ. DHCR will respond to each question within COMeT and post a comprehensive list of questions/requests for clarifications and their responses in COMeT.

Questions will not be accepted orally, and any question received after the deadline will not be answered.

D.3 Amendments

In the event that it becomes necessary to clarify or revise this RFQ, such clarification or revision will be made by addendum and posted to COMeT. Any addendum to this RFQ will become part of this RFQ and of any contractual agreement awarded as a result of this RFQ process.

Furthermore, a Respondent who discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFQ should immediately notify DHCR of such error and request clarification or modification to the document. DHCR shall make RFQ modifications by addendum, provided that any such modifications would not materially benefit or disadvantage any particular Respondent.

If, prior to the Submission Deadline date, a Respondent fails to notify DHCR of a known error or an error that reasonably should have been known, the Respondent shall assume the risk. If awarded the contractual agreement, the Respondent shall not be entitled to additional compensation or time by reason of the error or its late correction.

There are no designated dates for release of addenda. Interested Respondents should check [COMeT](#) on a daily basis from the time of RFQ issuance through the Submission Deadline date for updates to the RFQ. It is the sole responsibility of the Respondent to be knowledgeable of all addenda related to this procurement.

E. SUBMISSION REQUIREMENTS

E.1 Partnering

DHCR encourages Vendors to partner with experts in the field, such as Yardi Systems, MRI Software, or any other applicable companies with similar expertise.

Likewise, any Vendor that is not qualified to serve as a Prime Vendor but is interested in partnering should reach out to other Lot 3 and Lot 4 Vendors on the OGS manufacturer-based IT umbrella contract.

OGS Vendors who receive communications around potential partnering must reach out to subcontractors of their own volition. DHCR will not influence the partnering process.

E.2 Submission Overview

A complete response for this RFQ is composed of four (4) separate tabs: (i) Tab One: Application Coversheet, Submission Checklist, Cover Letter detailing how the Respondent meets or exceeds the Mandatory Requirements; (ii) Tab Two: Technical Response; (iii) Tab Three: Financial Response; and (iv) Tab Four: Diversity and SDVOB Response.

Electronic Submissions must be submitted through [COMeT](#) in two parts, as detailed below, by the Vendor Response Due Date indicated in the Questions and Other Events section of this RFQ. Unless otherwise specifically directed, Electronic Submissions must be bookmarked and in searchable Portable Document Format (“PDF”) compatible with Adobe Reader XI, version 11.0.4. DHCR will not accept discs, flash drives, or FTP file references that require DHCR to download information from a Respondent’s or third party’s website. If a file is large, it may be submitted as multiple files, with the proper Part I or Part II label (if applicable) and “1 of X”, “2 of X”, etc., and the last email as “X of X – Final” for each additional file. This is the only acceptable form of e-delivery.

- A. **Part I** must include electronic versions of three attachments, **Tabs 1, 2, and 4** of the response, and the subject line for this section must be labeled: **“DHCR RFQ RRSM – Part I, Tabs 1, 2, and 4”**.
- B. **Part II** must include one attachment, **Tab 3** of the response (the Financial Response), in Excel format, and the subject line for this section must be labeled: **“DHCR RFQ RRSM – Part II, Tab 3”**.

Original sealed responses are not required, and the receipt of timely electronic Submissions shall satisfy bid opening requirements. Any response received after the Vendor Response Due Date indicated in the Questions and Other Events section of this RFQ may not be considered for award, at the discretion of DHCR. The Respondent submitting a response assumes all risks associated with delivery. The determination of whether any response was received on time is at the sole discretion of DHCR. All submissions and accompanying documentation become the property of the State of New York and will not be returned. DHCR reserves the right to use any portion of the Respondent’s response not specifically noted as proprietary.

E.2.1 Tab One

The Application Coversheet is provided as Attachment 5, and the Submission Checklist is provided as Attachment 6. Respondents must complete both.

The Cover Letter must not exceed four (4) pages and must include:

1. The Respondent's name, address, telephone number, fax number, email address, and, if applicable, website address.
2. The name, title, telephone number, fax number, and email address of the individual within the Respondent's organization who will be DHCR's primary contact for this RFQ.
3. A summary of the Respondent's organizational history and legal structure. This must include evidence of MWBE and/or SDVOB NYS certification status, corporate and background information, and all relevant registration and license information.
4. A statement affirming that the Respondent and any subcontractors will have, prior to commencement of work under the contract(s) resulting from this RFQ, all necessary licenses, certifications, approvals, and any other credentials needed to perform the work required by this RFQ.
5. A statement on whether the Respondent will be subcontracting with a MWBE and/or SDVOB. Those using subcontracting opportunities must provide the name of the MWBE and SDVOB entity(ies) and principal(s), and those not using subcontracting opportunities must provide an explanation why they are not.
6. A statement affirming the number of years that the Respondent or its principals have provided similar services to those described in this RFQ. Respondents must also provide evidence of any relevant Certifications.
7. The name(s) of the primary staff who will provide services to DHCR.
8. A statement from the Respondent indicating that it meets both Mandatory Requirements set forth in Section A.1.2 of this RFQ, also summarized below:
 - a. Respondents must provide a written statement affirming that they are submitting quotes for a cloud-based Salesforce application; and
 - b. Respondents must provide a written statement affirming its agreement that upon implementation, DHCR shall be vested with all proprietary rights and ownership of said application or part thereof and no proprietary right and/or ownership of the solution or part thereof shall remain or vest with the Respondent.

E.2.2 Tab Two

The Technical Response must be complete, factual, and as detailed as necessary to allow DHCR to adequately evaluate Respondent capabilities and experience. The Technical Response must be composed of the Statement of Understanding, Qualifications Response Form, Technical Approach, including a completed Requirements Matrix; Deliverables, and Staffing Plan, Matrix, and Resumes.

Respondents must NOT include cost information in their Technical Response.

E.2.2.1 Statement of Understanding

Respondents must include a Statement of Understanding that demonstrates a thorough comprehension of not only the future solution's requirements but also the following components of the RRSN project:

- Goals and guiding principles
- Business requirements
- Project history
- Current state

E.2.2.2 Qualifications Response Form

Vendors must complete and return the Qualifications Response Form, provided as Attachment 7, with their response.

It is the preference of DHCR that Vendors meet or exceed the following qualifications:

- At least three (3) engagements in the past five (5) years that included implementing and providing a technical solution for a case processing system and/or replacing custom internal processing and historical data applications. These engagements must have been performed at an entity similar in magnitude to DHCR.
- At least three (3) state, local, or federal government engagements in the past five (5) years. Taken cumulatively, all engagements must equal at least five (5) years of experience working for state, local, or federal government clients.

E.2.2.3 Technical Approach

Respondents must submit a detailed narrative that explains how they will provide a comprehensive RRSN solution. This includes how business requirements will be fulfilled, how the solution will be configured to meet changing needs and requirements, how the solution will handle case processing decisions in conjunction with complex rent regulation calculations, and how data will be migrated to the new solution.

The Technical Approach should expressly respond to and provide satisfactory evidence of the respondent’s ability to fulfill the requirements in each of the capabilities listed below. Respondents may refer to the Requirement Traceability Matrix (RM) for context.

Table 4, Technical Approach Requirements

Technical Approach	
Requirement Type	Capability
Business	<ul style="list-style-type: none"> • Business
Functional	<ul style="list-style-type: none"> • Case Management • Correspondence Management • Data Management • External Portal • Global System • ID Management • Internal Portal • Interoperability • Inventory Management • Onsite Inspection • Registration Management • Reporting and Analytics
Non-Functional	<ul style="list-style-type: none"> • Security • Solution Performance
Service	<ul style="list-style-type: none"> • Disaster Recovery • Operational Support • Project Management • Solution Design • Solution Testing • Training • Transition • Release Validation

In addition, Respondents must complete Column F in the Excel version of the Requirements Matrix and submit the matrix with their Technical Approach. Respondents must indicate how their solution will fulfill certain functional and non-functional requirements: through customization (1), through configuration (2), or as a standard feature (3).

Note: Respondents should only fill in Column F, Vendor Response (Manual), as Column G, Vendor Response (Automatic), should not be edited and will automatically populate based on what is entered in Column F.

E.2.2.4 Deliverables

As defined in the Deliverables Matrix, Respondents must submit initial versions of select deliverables with their Technical Responses. These deliverables are:

- Project Schedule
- Agile Methodology Plan
- Capability Model Diagram
- Data Migration Plan
- Cutover and Transition Plan
- Site and System Security Plan
- Disaster Recovery Plan

Additional details for each deliverable can be found in the Deliverables Matrix.

E.2.2.5 Staffing Capabilities

Respondents must submit a completed Key Role Staffing Matrix that identifies the key staff who will be primarily responsible for performing the work laid out in this RFQ. While this RFQ describes minimum key staff requirements, Respondents should also propose additional key staff they consider instrumental to the RRSM project's successful completion. Respondents must submit a resume for each key staff member that includes number of years of relevant experience.

Respondents must also submit a comprehensive Staffing Plan. Because this RFQ does not list all staff required to fulfill each of the requirements of the RRSM project, the Staffing Plan must include all key staff as well as any additional staff the Respondent deems necessary to successfully meet the goals and objectives of the RRSM project. The Staffing Plan must also include the Vendor's procedures for filling key roles if any key staff members leave the Vendor's employment or are out of the office for an extended period of time.

If a Respondent will be subcontracting and/or partnering with an MWBE and/or a SDVOB for any portion of the work described in this RFQ, they must provide resumes and a summary of the relevant qualifications and experience of the subcontractor(s) and the staff of each entity. Respondents must also describe the types of tasks anticipated to be assigned to the subcontractor(s)/partner(s).

E.2.3 Tab Three

For the Financial Response, Respondents must complete and submit the Cloud Solution Financial Response, provided as Attachment 8. Respondents must propose fees for implementation, recurring, and data transfer items, and the combined totals from each section will determine the **total cost**. Other required items include deliverable and product descriptions and relevant discounts. Failure to comply with the Financial Response format and content requirements may result in disqualification.

Respondents should also note that the unanticipated enhancement budget will be utilized at the sole discretion of DHCR. Respondents should have no expectation of DHCR authorizing the use of the unanticipated enhancement budget, and any suggested enhancement(s) must be approved individually by DHCR executives in writing.

Respondents must not include technical information in their Financial Response nor financial information in any other part of their submission.

E.2.4 Tab Four

For the Diversity and SDVOB Response, Respondents must complete and submit the four following forms, hyperlinked below:

1. [EEO Staffing Plan Form, PROC-1](#)
2. [Utilization Plan, PROC-2](#)
3. [MWBE & EEO Policy Statement, PROC-4](#)
4. [Company Demographic Profile, PROC-7](#)
5. [EEOC Statement, PROC-8](#)
6. [Diversity Practices Questionnaire, PROC-9](#)

F. EVALUATION AND SELECTION PROCESS

F.1 Evaluation Overview

The evaluation of responses will be based on the “Best Value” concept. The submission which best “optimizes quality, cost, and efficiency” among the responsive and responsible Respondents will be selected for award.

DHCR may deem a response non-responsive and disqualify a Respondent if any of the required forms, information, or other documentation are missing or incomplete. DHCR reserves the right, in its sole judgment, to disregard any apparent errors in a response that it deems insignificant.

During the evaluation process, DHCR may require information from a Respondent. If specific sections of the written response require clarification, DHCR will identify the section(s) and information requested in writing. The Respondent should respond by the deadline stated in the correspondence. In addition, DHCR may use the response, information obtained through any interviews, DHCR’s own investigation of a Respondent’s qualifications, experience, ability, or financial standing, and any other material or information submitted by the Respondent in the course of the evaluation and selection under this RFQ. DHCR reserves the right to contact other sources not necessarily identified in the response to obtain information.

F.2 Scoring and Evaluation

F.2.1 Technical Response – 70 Points

DHCR’s Review Committee (“**Committee**”) will independently score each Technical Response to identify Respondents with the highest probability of satisfactorily providing the services described in the Scope of Services of this RFQ.

Evaluations will be based on the Respondent’s demonstration of its ability to provide the services described in the Scope of Services section of this RFQ. DHCR will evaluate Technical Responses using the categories listed in the table below.

Table 5, Technical Response Evaluation

Technical Response Evaluation	
Category	Description
Background and Experience	Experience and historical performance of Vendor and any partners or subcontractors
	Demonstrated ability, knowledge, and expertise to fulfill the scope of this RFQ
	Staff competence and expertise
	Staffing approach
Technical Approach	How approach satisfies business requirements

Technical Response Evaluation	
Category	Description
	Configurability of solution and amount of customization needed
	How approach satisfies all functional, service, and non-functional requirements, including project management and communication, reporting and analytics, and security policies and procedures
	How approach uses Agile methods for design, development, testing, and implementation
	License model and post-implementation maintenance and update process
Overall	Understanding of NYS rent regulation administration
	Understanding of project history and current state
	Comprehensiveness of response

F.2.2 RESERVED

F.2.3 MWBE and SDVOB Scoring – 5 Points

DHCR’s Office of Economic Opportunity & Partnership Development (“OEOPD”) will examine the MWBE/SDVOB documents and review them for responsiveness to MWBE/SDVOB requirements. Responses that have identified MBEs, WBEs, MWBEs or SDVOB as the Respondent to meet the Scope of Services are eligible to receive three percentage points. Responses that receive the three percentage points are eligible to receive an additional two percentage points if the Respondent’s Staffing Plan demonstrates that a majority of its staff are comprised of minority, women or disabled veterans.

F.2.4 Financial Response – 25 Points

DHCR’s Contract Unit will examine the Financial Response documents and review them for responsiveness to cost requirements. If a Financial Response is found to be non-responsive, that submission will be eliminated from consideration. All complete, responsive Financial Responses will receive a cost score. Financial Responses will be evaluated on a pre-determined formula using the Respondent’s proposed Rate(s). The maximum score (25 points) will be allocated to the response with the lowest cost according to this formula. All other responses will receive a proportionate score to the response with the lowest cost, according to the following formula:

$$\text{Cost points awarded} = (25 \text{ potential points}) \times (\text{Low bid} / \text{Respondent's bid})$$

F.2.5 Demonstrations and Interviews – 60 Points

DHCR reserves the right to conduct demonstrations and interviews with the Respondents who receive the three highest Initial Composite Scores. DHCR may also conduct demonstrations and interviews with any Respondent(s) outside of the top three who receive, at DHCR’s discretion, a very high Initial Composite Score. An Initial Composite Score for each responsive Respondent will be calculated by adding the Technical Response points, Financial Response points, MWBE points, and contract length points.

Respondents will be notified of the date, location, and time of their demonstration and interview. The demonstration and interview will be designed to allow the Respondent to demonstrate their ability to provide the required services. The Respondent, as well as other key personnel who would be responsible for providing the required services, must be present and participate in the demonstration and interview.

Further information regarding the format of the demonstration and interview will be provided to the Respondent prior to the demonstration and interview. The demonstration and interview should substantiate the characteristics and attributes claimed by the Respondent in the written response to the RFQ. However, the demonstration and interview will not be

an opportunity to cure material omissions in any Respondent's response and are not a substitute for a well-written response.

F.2.5.1 Demonstration – 40 Points

While the demonstration must present the proposed solution as a whole, the demonstration will also include system-representative rent regulation business problem. DHCR will provide applicable Vendors with relevant information approximately one month prior to their scheduled demonstration. In that time, Vendors will send business analysts and other necessary staff to a DHCR office to define all business requirements needed to successfully solve the business problem. The demonstration itself will consist of a walkthrough of the proposed solution's functionality as well as how each Vendor arrived at and automated its final calculation.

The demonstration will showcase the Vendor's understanding of the project's parameters and its ability to provide the required services. DHCR will evaluate each proposed solution and how all calculations were developed, how they are performed, and the type of software configurations necessary to perform the calculations.

DHCR will contact applicable Vendors to schedule a demonstration after the evaluation of all written responses is complete.

F.2.5.2 Interview – 20 Points

DHCR will conduct post-demonstration interviews with DHCR-selected Vendor and subcontractor personnel, including all proposed key staff and all Business Analysts involved in the demonstration and/or proposed in the submission. All personnel will attend a single interview. The interview will further document the Vendor's ability to provide the required services and enhance DHCR's 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 Vendor in its written response to this RFQ and during its demonstration work.

DHCR will contact applicable Vendors to schedule an interview after the evaluation of all written responses is complete.

F.3 Final Scores

DHCR will calculate Final Composite Scores by adding together each responsive Respondent's Initial Composite Score, demonstration points, and interview points.

DHCR may request Best and Final Offers (BAFO) from Respondents. The successful Respondent shall be required to submit a Statement of Work to DHCR no later than 30 days after receipt of the award of notification.

G. DOWNSTREAM PROHIBITION

There are no downstream prohibitions for this procurement.

H. CONTRACT AWARD

The selected Respondent (Contractor) will receive a notice of tentative award, along with additional procurement forms that will need to be signed/notarized and returned with the proposed Statement of Work. The Contractor must agree to sign a Statement of Work within thirty (30) days of notification of tentative award. If the selected Respondent fails to do so, DHCR reserves the right to begin negotiations with the next highest ranked Respondent.

The resultant Authorized User Agreement, which will include [DHCR's Appendix II, MWBE Participation Requirements and Procedures for Contracts \(January 2018\)](#), will need to be reviewed and approved by the Office of the State Comptroller before it can be effective.

I. DEBRIEFING AND PROTEST PROCEDURES

I.1 Debriefing Procedures

Unsuccessful Respondents shall be notified upon the Agency's selection of a Contractor. Consistent with New York State Finance Law Section 163, Respondents may, within fifteen (15) calendar days of notification of selection/non-selection, request a debriefing to discuss the evaluation of its Proposal. A debriefing must be requested in writing and the request shall be submitted to Lisa G. Pagnozzi at Lisa.Pagnozzi@hcr.ny.gov.

A Respondent will be accorded fair and equal treatment with respect to its opportunity for debriefing. The debriefing shall be scheduled within ten (10) business days of receipt of written request by the Agency, or as soon after that time as practicable under the circumstances.

I.2 Protest Procedures

Any Agency protest concerning the terms and conditions of this RFQ (or other matters that would be apparent to an interested party prior to the date set in this RFP for the receipt of proposals) must be filed on or before the date set in this RFQ for the receipt of proposals. The protest must be in writing and submitted to Lisa G. Pagnozzi at Lisa.Pagnozzi@hcr.ny.gov.

An unsuccessful Agency Respondent may file a protest concerning the contract award to Lisa G. Pagnozzi at Lisa.Pagnozzi@hcr.ny.gov within ten (10) business days from the date of the notice of the contract award or if a debriefing has been requested by the Respondent, within five (5) business days of the debriefing (whichever is later).

J. AUTHORIZED USER DISPUTE RESOLUTION PROCESS

Should a dispute or protest arise regarding this RFQ, the dispute or protest will be considered and decided by the Authorized User.

In the event there is a dispute or controversy during the term of the Authorized User Agreement resulting from this RFQ, the Contractor and Authorized User agree to exercise their best efforts to resolve the dispute as soon as possible. The Contractor and Authorized User shall, without delay, continue to perform their respective obligations under the resulting Authorized User Agreement and this Centralized Contract which are not affected by the dispute. Primary responsibility for resolving any dispute arising under the Authorized User Agreement shall rest with the persons designated by the Authorized User and the Contract's Contract Administrator and/or Account Manager.

In the event the Authorized User is dissatisfied with the Contractor's Products provided under the Authorized User Agreement, the Authorized User shall notify the Contractor in writing pursuant to the terms of the Contract. In the event the Contractor has any disputes with the Authorized User, the Contractor shall so notify the Authorized User in writing. If either party notifies the other of such dispute or controversy, the other party shall then make good faith efforts to solve the problem or settle the dispute amicably, including meeting with the party's representatives to attempt diligently to reach a satisfactory result.

If negotiation between such persons fails to resolve any such dispute to the satisfaction of the parties within fourteen (14) business days or as otherwise agreed to by the Contractor and Authorized User, of such notice, then the matter shall be submitted to the persons designated by the Authorized User and the Contractor's senior officer of the rank of Vice President or higher as its representative. Such representatives shall meet in person and shall attempt in good faith to resolve the dispute within the next fourteen (14) business days or as otherwise agreed to by the parties. This meeting must be held before either party may seek any other method of dispute resolution, including judicial or governmental resolutions. Notwithstanding the foregoing, nothing in this section shall be construed to prevent either party from seeking and obtaining temporary equitable remedies, including injunctive relief.

The Contractor shall extend the dispute resolution period for so long as the Authorized User continues to make reasonable efforts to cure the breach, except with respect to disputes about the breach of payment of fees or infringement of its or its licensors' intellectual property rights.

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Manufacturer / Authorized Reseller Information

This Page is to be Completed by the Manufacturer or Authorized Reseller Responding to the RFQ

The RFQ Response must be fully and properly executed by an authorized person. By signing, you certify your express authority to sign on behalf of yourself, your company, or other entity and full knowledge and acceptance of this RFQ (including any Questions/Answers or addenda), the OGS Centralized Contract, and that all information provided is complete, true, and accurate. Quotes received by RFQ due date/time are binding and non-retractable for 120 days or as stipulated in the RFQ.

Contract #	Manufacturer Name	Authorized Reseller Name
<i>Manufacturer or Reseller Signature:</i>	<i>Date:</i>	<i>Phone Number:</i> <i>E-Mail:</i>
<i>Printed or Typed Name:</i>	<i>Title:</i>	
<p><i>If you are not providing a RFQ Response, place an "x" in the box, please explain why you are not responding, and return this page only.</i></p> <p><input type="checkbox"/> WE ARE UNABLE TO RESPOND AT THIS TIME BECAUSE:</p>		

After fully completing the information above, please submit this page through COMeT to the Authorized User indicated on the Cover Page. The Authorized User reserves the right to request the original executed page of this RFQ.