



Kathy Hochul, Governor

Homes and Community Renewal

RuthAnne Visnauskas, Commissioner/CEO

Request for Proposals for Managed Security Services

Request for Proposals Issuance Date:

October 20, 2023

Proposal Submission Deadline:

~~November 29, 2023, 12PM, EST~~

December 6, 2023, 12 PM, EST

RFP No.: HCR-RFP-231020

NEW YORK STATE HOUSING FINANCE AGENCY

641 Lexington Avenue | 5th Floor | New York, NY 10022

www.hcr.ny.gov

Request for Proposals for Managed Security Services

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NEW YORK STATE HOUSING FINANCE AGENCY

REQUEST FOR PROPOSALS FOR MANAGED SECURITY SERVICES

IMPORTANT NOTICE: A Restricted Period under the Procurement Lobbying Law is currently in effect for this Procurement and will remain in effect until authorization of a Contract by the Board of Directors of the New York State Housing Finance Agency (“**Board**”). Proposers are prohibited from Lobbying Law Contacts related to this Procurement with any employee of the New York State Housing Finance Agency (“**HFA**” or “**Agency**”) or its Affiliates¹, other than the Designated Contact Officer listed below.

Alejandro J. Valella, Vice President and Deputy Counsel
New York State Housing Finance Agency
641 Lexington Avenue, 5th Floor, New York, New York 10022
Email: Alex.Valella@hcr.ny.gov

If you have inquiries regarding this request for proposals (“**RFP**”) or would like to contact the Agency regarding matters not relating to Lobbying Procurement Law Contacts, please contact Lisa G. Pagnozzi, Jerome White or Monika Lekarczyk via email at ContractUnitInfo@hcr.ny.gov citing the RFP page and section, no later than the date identified in the Calendar of Events and Milestones section of this RFP. The subject line of the email should indicate “2023 MSS RFP.”

1. Introduction

New York State Homes and Community Renewal (“**HCR**”) consists of all the major housing and community renewal agencies of the State of New York (“**State**” or “**NYS**”) including the New York State Housing Finance Agency. HCR includes other agencies (“**Affiliates**”) not involved in this RFP process.

¹ Affiliates shall mean the State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency, Tobacco Settlement Financing Corporation, Housing Trust Fund Corporation and New York State Division of Housing and Community Renewal.

1.1 New York State Housing Finance Agency

The [New York State Housing Finance Agency](https://hcr.ny.gov/housing-finance-agency) is a public benefit corporation created in 1960 to finance low-and-moderate income rental housing. HFA issues taxable and tax-exempt bonds to provide mortgage loans to developers of affordable multifamily rental housing. HFA's mission is to create and preserve high quality affordable multifamily rental housing that serves communities across the State. For additional information regarding HFA and its programs, please visit HFA's webpage at: <https://hcr.ny.gov/housing-finance-agency>.

2. Purpose

HFA seeks proposals from qualified managed security services providers with an industry leading Security as a Service (“SECaaS”) solution which provides 24/7 managed security services (“MSS”) that include, but is not limited to, the following services: (i) managed detection and response; (ii) vulnerability detection and prioritization; (iii) managed intrusion prevention and detection; (iv) threat hunt/monitoring; (v) incident response team; (vi) program management; (vii) information security assessments; (viii) external penetration testing; (ix) wireless penetration testing; (x) deep dark web searches; and (xi) firewall audit with configuration recommendations.

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

The Agency has determined, pursuant to New York State Executive Law Article 15A (“Article 15-A”) and New York State Executive Law Article 17B (“Article 17-B”), that the assessment of participation by minority-and/or women-owned business enterprises (“MWBEs”) (assessment of participation by MWBEs hereinafter referred to as “Diversity”) and service-disabled veteran owned businesses (“SDVOBs”) practices of Proposers responding to this RFP is practical, feasible, and appropriate.

3.1 Minority and/or Women Owned Business Enterprise Participation (“Diversity”)

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

The Agency is required to implement the provisions of Article 15-A and 5 NYCRR Parts 142-144 (“MWBE Regulations”) for all contracts of the Agency, as defined therein, with a value in excess of \$25,000. The Agency strongly encourages the partnering of MWBE firms with majority firms and MWBE firms with other MWBE firms. For assistance identifying MWBE partners, review the list of certified State MWBEs, accessible at the following web address: <https://ny.newnycontracts.com/frontend/searchcertifieddirectory.asp>.

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

3.2 Service-Disabled Veteran-Owned Business Enterprise Participation

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

The Agency is required to implement the provisions of Article 17-B for all Agency contracts, as defined therein, with a value in excess of \$25,000. For assistance identifying SDVOB partners, review the list of certified State SDVOBs, accessible at the following address: <https://online.ogs.ny.gov/SDVOB/search>.

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

3.3 MWBE and SDVOB Partner/Subcontractor Interest

MWBEs and SDVOBs certified in the State may request that their firm’s contact information be included on a list of MWBE and SDVOB firms interested in serving as a subcontractor for this RFP. The listing will be publicly posted on the Agency’s website for reference by the bidding community. A firm requesting inclusion on this list should send contact information and a copy of its MWBE certification and/or SDVOB certification to ContractUnitInfo@hcr.ny.gov. Nothing prohibits an MWBE or a SDVOB firm from proposing as a prime contractor (i.e., a “Proposer”).

4. Calendar of Events and Milestones

It is anticipated that the Contract resulting from this RFP process will be awarded based on the below calendar events/dates. The Agency reserves the right to modify the below calendar events/dates at its discretion. Notification of changes in connection to the calendar events/dates will be posted and made available to all interested parties via HCR’s webpage at: <https://hcr.ny.gov/procurement-opportunities>. It is the responsibility of the Proposer to check the above referenced webpage regularly for notifications relating to this RFP. The Agency reserves the right to modify the calendar events/dates at its discretion.

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CALENDAR OF EVENTS AND MILESTONES

Event	Date
Issuance of RFP	October 20, 2023
Deadline for RFP Questions	November 14, 2023, November 21, 2023 12PM Eastern Standard Time (“EST”)
Deadline for Responses to RFP Questions	November 20, 2023 November 27, 2023
Proposal Submission Deadline	November 29, <u>December 6, 2023,</u> 12PM EST
Notification for Interview to Selected Proposers (if needed)	To Be Determined
Interview for Selected Proposers (if needed)	To Be Determined
Anticipated Notification of Tentative Selection*	To Be Determined
Anticipated Date for Approval of Contract by Board*	January 2024
Anticipated Date for execution of Contract	February 2024

* The HFA contract resulting from this RFP process will be subject to the approval of the HFA Board and will also be subject to annual review by the HFA Board.

5. Intent to Submit Proposal

Proposers are strongly encouraged to complete an *Intent to Submit Proposal* form, attached hereto as Form A, and to submit the form via email to ContractUnitInfo@hcr.ny.gov with the subject line “*Intent to Submit Proposal – MSS RFP*”. The submission of the *Intent to Submit Proposal* form is not mandatory and, as such, is not binding in any way.

The submission of the Intent to Submit Proposal form, while encouraged, is discretionary and, as such, is not binding in any way. Proposers that submit an Intent to Submit Proposal form will be added to HCR’s bidders’ list and will be notified of future related HCR solicitations.

6. Primary Contractor and Subcontractor(s) Team

Proposers may partner with other entities including, but not limited to, MWBEs and SDVOBs, to provide the Agency with the Scope of Work described in the Scope of Services section of this RFP. The successful Proposer must be the lead vendor (“**Primary Contractor**”) that will serve as the legal

contracting entity with which the Agency will enter into a contract. If the Proposal Submission includes MSS from any other participating vendors, it is understood that those vendors will serve as subcontractors to the Primary Contractor.

For purposes of evaluating Proposal Submissions and developing the intended agreement between the Agency and the Primary Contractor, all contributions to the project from both the Primary Contractor and its subcontractor(s), including skills, attributes, and products, will be considered as the total proposal put forth by the Primary Contractor. All necessary communications will be directed to the Primary Contractor.

7. Minimum Qualification Requirements

Proposals must meet the minimum qualifications requirements to be considered.

Minimum Qualification Requirements: Proposer must be a managed security services provider with at least 10 plus years of experience in providing MSS for the financial/banking sector.

A “*managed security services provider*” (“MSSP”) is defined as a third-party cybersecurity company that provides outsourced monitoring and management of security devices and systems for its customers utilizing the latest technologies and best practice procedures.

Please confirm that your organization is an MSSP in accordance with the above defined term and indicate the number of years of experience your organization has in providing MSS for the financial/banking sector.

HFA reserves the right to request clarification on Minimum Qualification responses, including verification of information.

Note: Failure by a Proposer to provide any of the above information, as requested by HFA, or to meet any of the above qualifications, in whole or in part, may result in a rejection of the Proposal.

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

The successful Proposer will provide the Agency with SECaaS, a managed security services solution.

8.1 Experience and Qualification Requirements

8.1.1 Experience. The MSSP must be a leading contender that is highly rated in the cybersecurity industry with at least 10 plus years of proven experience in providing Managed Detect and Response Services for the Financial/Banking sector. The MSSP must be able to provide SOC1/SOC2 certifications upon notice.

8.1.2 Staffing. The MSSP must have a proven team of experienced security professionals who are certified in the latest threat detection and response technologies. In addition, the MSSP will be expected to provide continuous reports on the status of the Managed Detect and Response Services.

8.1.3 Technology. The MSSP must use the latest threat detection and response technologies, including Security Information and Event Management (“SIEM”), Endpoint Detection & Response (“EDR”) / Managed Detect and Response (“MDR”), and threat intelligence platforms with a well-defined process for detecting and responding to security threats and vulnerabilities.

8.2 Scope of Work

The SECaaS, a Managed Security Services solution, must include the following services:

- 24/7 cybersecurity threat and vulnerability monitoring of ongoing and potential threats and vulnerabilities with an expert team who can help identify, isolate and perform forensic analysis to understand any possible impact from cybersecurity attacks or vulnerabilities;
- MDR with the ability to quickly triage, investigate, alert and respond to incidents;
- Intrusion prevention and detection;
- Centralized logging into a SEIM or SEIM like system;
- Endpoint monitoring detection for multiple device types including physical / virtual Windows/Linux servers, network appliances and devices, PCs, Laptops and tablets;
- Cyber Incident Response Team (“CIRT”) who can support the incident response lifecycle along with the Agency;
- Continuous notifications to the Agency concerning latest and ongoing Cybersecurity threats and vulnerabilities;
- Threat modelling framework used such as OWASP top 10/ MITRE ATT&CK Framework;
- Real-time threat intelligence especially with zero-day or emerging threats;
- Up-to-date protection for zero-day or emerging threats within its system(s);
- User-friendly dashboard to monitor endpoint threats across multiple data centers and virtual private clouds environments;
- Ability and capacity to contain threats on the Agency’s behalf;
- Ability to isolate and block known threats;
- Ability to stop attackers earlier in the ‘cyber kill chain’ to prevent lateral spread;
- Ability to conduct proactive and reactive threat hunting across all the Agency’s environments;
- Interaction with the Agency Information Technology team on a continuous basis through the duration of the engagement by means of status reports, meetings and email notifications;
- Weekly vulnerability scanning and reporting;
- Periodic penetration testing of the Agency’s public facing web applications with a report and debriefing upon completion;
- Periodic penetration testing of the Agency’s Wi-Fi with a report and debriefing upon completion;
- Periodic firewall reviews with a report and debriefing upon completion;
- Periodic network health check reviews with a deliverable report and debriefing upon completion;

- Periodic Deep Dark Web scanning to determine any unauthorized usage of the Agency’s information or data with a deliverable report and debriefing upon completion;
- Periodic Information Security Assessments (“ISA”) on the Agency’s Information Technology’s infrastructure to include providing ISA ratings for each category in a deliverable report and debriefing upon completion;
- Ability to perform periodic incident response exercises with a deliverable report and debriefing upon completion of the exercises;
- Weekly status meetings; and
- Other related vendor service offerings as directed by the Agency.

8.3 Other Agency Scope of Work

Endpoint Requirement Coverage

The Agency’s endpoint coverage:

On-premise (Primary & Disaster Recovery Sites):

Servers (Physical & Virtual)	82
Workstations	362
Switches/Routers/WAPS	100
Network Printers	60
Appliances	11

Cloud

Servers	85
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Total	700
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9. Contents of Proposals

A complete proposal for this RFP is comprised of five (5) separate tabs: (i) Tab One: Application Cover Sheet, Cover Letter and Proposal Certification; (ii) Tab Two: Technical Proposal; (iii) Tab Three: Cost Proposal; (iv) Tab Four: Administrative Proposal; and (v) Tab Five: Diversity, Equal Employment Opportunity (“EEO”) and SDVOB Proposal.

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

The Proposer must submit a proposal that clearly provides all the information required in this RFP. Emphasis should be made on conformance to the RFP instructions, responsiveness to the RFP

requirements, and clarity of content. The Proposer is advised to thoroughly read and follow all instructions contained in this RFP. Proposals that do not comply with these instructions, or do not meet the full intent of all the requirements of this RFP may be subject to scoring reductions during the evaluation process or may be deemed non-responsive.

The Agency does not require, nor desire, any promotional material that does not specifically address the response requirements in this RFP. Proposals must demonstrate that the Proposer is qualified to perform the Scope of Work based on eligibility requirements and prior relevant professional experience. The Proposer is required to submit the information and documentation listed below in the order in which it is requested. A proposal that does not include all required information and completed forms may be subject to rejection.

The completed proposal will include Tabs One through Five, as described in the Proposal Submission Instructions section of this RFP. Each Tab must be bookmarked as “Tab 1,” “Tab 2,” “Tab 3,” “Tab 4,” and “Tab 5” and must be presented in the exact order requested in this RFP. The content in Tab 2 must be limited to 25 letter-size pages (single spaced, minimum 12-point font, and at least one-inch margins). The 25-page limit in Tab 2 does not include resumes, organizational chart, graphic charts, diagrams, flow charts, etc. The proposal must include a table of contents that clearly identifies the location of all material within the Proposal Submission by Tab, Section and Page number.

9.1 TAB 1: Proposal Coversheet, Cover Letter & Proposal Certification

The Proposer must submit, as part of its Proposal Submission, the Proposal Coversheet, Cover Letter and Proposal Submission Certification (collectively titled as “Attachment I” of Tab 1) as outlined in this RFP.

9.1.1 Proposal Coversheet

The Proposer shall complete and submit a Proposal Coversheet which contains identifying information for the Proposer’s organization. The Coversheet must be submitted utilizing the template provided in Attachment I.

9.1.2 Cover Letter with Executive Summary (3 pages)

The Proposer’s Cover Letter must (i) be on Proposer letterhead, (ii) not exceed two (2) pages and (iii) include the following items:

- A. The Proposer’s name, address, telephone number, fax number, email address and web site address, if applicable;
- B. The name, title, telephone number, fax number and email address of the individual within the Proposer’s organization who will be the Agency’s primary contact concerning the proposal;

- C. A summary of the Proposer’s organizational history, legal structure (*e.g. corporation, State of incorporation, MWBE and/or SDVOB certification status, etc.*) and include a statement confirming that the vendor is registered to do business in the State of New York;
- D. The location of the Proposer’s main business office. If there are other locations of the Proposer that may be involved in future projects, identify those other location(s) and include names/telephone numbers/email addresses of contact persons in those locations;
- E. **Provide the information requested in the Minimum Qualification Requirements section of this RFP that describes how the Proposer meets the specified Minimum Qualifications and provide evidence; Proposer must provide evidence of the Minimum Qualification Requirements in this cover letter (*i.e., Proposer should NOT request the Agency to seek this information by referencing the Proposer’s Technical Proposal*); ~~and~~**
- F. Indicate whether the Proposer will be subcontracting with a MWBE and/or SDVOB, and if so, provide the name of the MWBE and SDVOB entity(ies) and principal(s); if the Proposer will not be subcontracting/partnering with an MWBE and/or SDVOB, indicate the reason why there are no subcontracting/partnering opportunities for the services described in the Scope of Work section of this RFP; ~~and~~
- ~~F.G.~~ The Proposer has read the draft MSA and either (i) has no edits at this time or (ii) has provided a list of suggested edits as part of their proposal submission.

9.1.3 Proposal Certification

Proposer must complete and submit with their Proposal Submission a signed certification (“**Proposal Certification**”) which affirms that the information contained in the proposal is true and accurate and that the person signing the Proposal Certification is authorized to submit the proposal on behalf of the Proposer. The Proposal Certification must be submitted utilizing the template provided in Attachment I of Tab 1.

9.2 TAB 2: Technical Proposal (25-page limit)

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

The purpose of the Technical Proposal is to provide the Proposer an opportunity to demonstrate its qualifications, experience, competence and capacity to undertake the services described in the Scope of Services section of this RFP, in a manner which complies with the requirements of this RFP. Proposals must specifically detail a Proposer’s qualifications and experience in providing the services sought by the Agency. The Technical Proposal may not exceed the 25-page limit (excluding resumes, charts, flow charts, etc.). The Technical Proposal must include responses to the items listed below.

Please note, in the Technical Proposal, Proposers must NOT include any information related to cost or the amount proposed for MSS.

9.2.1 Experience and Qualifications of the Proposer

The Proposer must complete the “Proposer Experience Addendum” Tab hyperlinked here as [Attachment II](#) of the RFP. Proposer to only list experience that is relevant to this RFP. The Agency is specifically seeking MSS experience for Proposer clients in the financial/banking industry. Attachment II is not included in the 25-page limit.

“Relevant experience” is defined as current or prior contractual engagements, within the past five (5) years, on behalf of a Proposer client, that Proposer performed services that are the same or similar to the Scope of Services in this RFP.

An “engagement” is defined as a single, previous (*within the past 5 years*) or current contract (*including contract renewals, if any*) to perform services. In Attachment II, the Proposer must fill in all of the relevant fields highlighted in green for each of the five (5) engagements in the financial/banking sector, including the field requesting a short description. If more space is needed, the Proposer may also attach up to three (3) additional pages, not included in the 15-page limit, specifically to elaborate on descriptions of engagements listed in Attachment II. These pages must be labeled “Proposer Experience Addendum.”

In addition, Proposer to provide the items listed below.

1. Proposer background information:
 - a. description of the organization;
 - b. length of time that Proposer is providing MSS;
 - c. brief overview of Proposer’s proposed services;
 - d. an explanation of Proposer’s tiered service levels; and
 - e. awards and/or recognition that Proposer received as an MSSP.
2. A description of Proposer’s demonstrated 10+ years of experience in providing MSS successfully for the tasks indicated in the Scope of Services section of this RFP to Proposer clients(s) in the financial/banking industry. Indicate client names together with additional related tasks that may NOT be indicated in the Scope of Services together with hyperlinks to relevant products and when the work was performed.
3. Names of the principals and other key staff who would be responsible for Agency matters and a description of the relevant qualifications and experience of each principal/key staff. Provide resumes (resumes not included in the 25-page limit).
4. A list of any monitoring issues, audit findings, or findings of contract nonperformance related to the work as determined by either the contracting entity or a federal, state or local entity

providing oversight within the last five years.

5. A list of any Key Performance Indicators (“**KPIs**”) used to measure success, and whether the performance targets were met.
6. A description of any innovative technology solutions or other best practices to be provided together with hyperlinks to relevant products utilized by the Proposer that might be relevant to the Scope of Services section of this RFP.
7. A description of the instances, if any, in which the Proposer has worked with MWBEs on previous engagements by engaging in joint ventures or other partnering or subcontracting arrangements. Responses should include the nature of the engagement, how such arrangement was structured and a description of how the services and fees were allocated.

9.2.2 Proposal Narrative

The Proposer must provide a detailed written Narrative that includes the items listed below.

1. An explanation of the methodology, strategy, and workflow that will be utilized together with any procedures to ensure compliance with federal and/or State requirements, where applicable.
2. A plan for communication and measuring contract performance.
3. Any tasks listed in the Scope of Services section of the RFP that the Proposer is **NOT** capable of providing.
4. The required lead-time the Proposer would need to begin an engagement after contract award is made.
5. A project plan with estimated timelines including Agency resources required to standup and fully implement your solution based on the environments and device information provided in section 8.3 of this document.
6. What technologies do you use for your Manage Security Services solution?
 - a. Do you use your own technology, third party products or a combination of both for the services you are proposing to deliver and maintain?
 - b. Describe the technologies, products and tools used to deliver each of your proposed services.
 - c. Describe any patents your technology has been awarded.
7. Does your solution accept feeds from security devices, network devices, applications, endpoints and databases? Describe the devices your solution supports and any devices that it does not support.

8. Describe your process for identifying relevant security events from logs feeding into your system. Explain the types of events you process from a Windows host, Linux host, databases, router, and switches, and how do your rules engine correlate to these events?
9. Do you enrich log data with contextual elements such as IP reputation, Geo IP or assets? If so, please describe.
10. Do you have expertise in security monitoring, threat hunting, incident containment, and response? If so, please describe.
11. What does “Response” and “Remediation” mean to you as a MDR provider? Provided there is a response agreement from the Agency, what MDR actions can your company take on behalf of the Agency?
12. How are you developing detections that exceed commodity threat intelligence?
13. In the face of growing threats, what is the average time it takes your teams to detect, understand, and contain a threat?
14. What are your analytic and correlation capabilities? Describe the continuum of automated processing and categorizing of threats from within your system, and the validation tools and/or processes that are utilized.
15. Does your solution analyze and correlate data to identify security events and classify events according to severity?
 - a. Are you able to correlate events across clients/endpoints?
 - b. Can you correlate events by identity (user)?
16. Do you have advanced threat detection capabilities and if so, please describe them?
17. Describe how you detect threats. Do you use signatures, behavioral analysis, anomaly detection, volume analysis or malicious host detection?
18. What is your process for adding new devices into your solution, and how does your solution incorporate unsupported devices?
19. Do you have a customized escalation process for alerts? If so, please explain.
20. Do you manage devices on behalf of your clients? If so, describe your device management capabilities and service tiers.

21. Do you have a dedicated team for security research? If so, describe the focus of the research, and how they will work with the customer's IT team.
22. As you continuously research threats and trends, how quickly can you implement those findings into your systems?
23. Does your security research team develop threat reports? If so, how often? Please attach any relevant reports as examples (not included in the 25-page limit).
24. Do you have critical incident response services? If so, describe the different types / tiers of the critical incident response services available.
25. How is your incident response team integrated into the service delivery teams, particularly the log monitoring team?
26. Describe your reporting capabilities and provide example screenshots of the portal UI for the proposed services. Screenshots not included in the 25-page limit.
27. What degree do you support the Incident Response lifecycle?
28. Describe your vulnerability scanning and reporting process including tools utilized.
29. Are there parts of your solution that can be carved out for MWBE and SDVOB subcontracting opportunities? If so, which part(s) of your solution may be subcontracted? If not, explain why.
30. Do you have a separate portal interface for clients, or is it the same interface that the Service Organization Control ("SOC") analysts uses?
31. Describe your implementation services, including your normalization and tuning process.
32. What is the extent of your coverage across cloud, on-premise, users, etc.?
33. What resources will you need from us during implementation and throughout the contract?
34. Please describe any additional solution services your Managed Security Services can offer.

9.3 TAB 3: FORM A: Cost Proposal Form (Budget)

The Proposer must complete the Cost Proposal Tab, hyperlinked herein as **Attachment III**. The Cost Proposal contemplates a 5-year term for the contract with two optional two-year renewals and one optional one-year renewal, with contract and renewals subject to approval by the HFA Board. **Proposer**

is required to complete the cost proposal for all 10 years, i.e., the five-year term and the optional renewal periods. Proposals that do not include costs for all 10 years may not be considered.

The Agency reserves the right to negotiate a lower fee with the successful Proposer. The Agency also reserves the right to negotiate the fee with the successful Proposer for future best practices products/services related to MSS, not specified in the scope of services section of this RFP, that will be beneficial in keeping the Agency free from cyber threats and/or remedies. All fees should be inclusive of travel.

9.4 TAB 4: Administrative Proposal

Proposers are subject to the requirements indicated in the Agency's [Standard Clauses and Requirements for Solicitations](#), hyperlinked herein as Exhibit A. Such requirements include, but are not limited to, submission of the following information and forms: (a) [Vendor Information FORM](#); (b) [Lobbying Procurement Law FORM 1](#) and [Lobbying Procurement Law FORM 2](#) ; (c) [Non-Collusive Bidding Certification FORM](#); (d) [Vendor Responsibility Questionnaire for For-Profit Business Entity](#); (e) [Vendor Assurance of No Conflict of Interest and Detrimental Effect](#); and (f) [Executive Order #16 – Prohibiting Contracting with Businesses Conducting Business in Russia](#).

In addition to completion of the forms hyperlinked in the paragraph above, Proposers must provide all other information indicated in this Section 9.4 for Tab 4.

If Proposer intends to recommend edits to the Master Services Agreement (“MSA”) for the Agency’s consideration, MSA attached hereto as Attachment IV, Proposer must submit a list of proposed edits on List of Exceptions to MSA attached hereto as Attachment V, in the following format: (a) section, page number and current language; (b) suggested revised language; and (c) justification for proposed edits.

9.4.1 Financial Capacity

The Proposer must provide the last two years of their company’s most recent tax returns or, if available, audited financial statements.

9.4.2 Licenses, Certifications and other Credentials

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

9.4.3 Insurance Requirements

(i) Minimum Insurance Requirements. *(required prior to contract execution)*

The successful Proposer(s) (“**Contractor(s)**”) is required to provide and maintain, at its sole cost and expense, the required insurance coverage, at the minimum limits specified herein, during the term of the contract and for two years after completion of work. All required insurance policies must be maintained with insurance companies licensed within the State of New York and holding an AM Best rating of no less than A- VIII. In addition, companies writing insurance intended to comply with the requirements should be licensed or authorized by the New York State Department of Financial Services to issue insurance in the State of New York. The Agency may, in its sole discretion, accept policies of insurance written by a non-authorized carrier or carriers when certificates and/or other policy documents are accompanied by a completed Excess Lines Association of New York (“**ELANY**”) affidavit or other documents demonstrating the company’s strong financial rating. If, during the term of a policy, the carrier’s A.M. Best rating falls below “A-,” Class “VII,” the insurance must be replaced, on or before the renewal date of the policy, with insurance that meets the requirements above.

Contractor shall deliver to the Agency evidence of the insurance required by the Contract resulting from this RFP process in a form satisfactory to the Agency. Policies must be written in accordance with the requirements of the paragraphs below, as applicable. While acceptance of insurance documentation shall not be unreasonably withheld, conditioned or delayed, acceptance and/or approval by the Agency do not, and shall not be construed to relieve the Contractor of any obligations, responsibilities or liabilities under the resulting Contract. The Contractor shall not take any action or omit to take any action that would suspend or invalidate any of the required coverages during the term of the Contract.

The Contractor shall provide the Agency with a Certificate or Certificates of Insurance, in a form satisfactory to the Agency as follows: certificates shall name the New York State Housing Finance Agency and its Affiliates (*State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation*), 641 Lexington Avenue, 5th Floor, New York, NY 10022, as the certificate holder. Within 30 business days of receipt of any notice of cancellation or non-renewal of insurance, the Contractor shall provide the Agency with a copy of any such notice received from an insurer together with proof of replacement coverage that complies with the insurance requirements of the Contract resulting from this RFP process.

Certificates of Insurance must indicate the applicable deductibles/self-insured retentions for each listed policy. Deductibles or self-insured retentions above \$100,000.00 are subject to approval from the Agency. Such approval shall not be unreasonably withheld, conditioned or delayed. Contractor shall be solely responsible for all claim expenses and loss payments within the deductibles or self-insured retentions. If the Contractor is providing the required insurance through self-insurance, evidence of the financial capacity to support the self-insurance program along with a description of that program including, but not limited to, information regarding the use of a third-party administrator, shall be provided upon request.

Prior to the commencement of any work by a Subcontractor, the Contractor shall require such Subcontractor to procure policies of insurance as required herein and maintain the same in force during the term of any work performed by that Subcontractor, unless otherwise approved by the Agency. The Agency reserves the right to set minimum insurance limits in any subcontracting agreement between the Primary Contractor and its subcontractor(s). An Additional Insured Endorsement CG 20 38 04 13 (*or the equivalent*) evidencing such coverage shall be provided to the Contractor prior to the commencement of any work by a subcontractor and shall be provided to the Agency upon request. For Subcontractors that are self-insured, the Subcontractor shall be obligated to defend and indemnify the above-named additional insureds with respect to Commercial General Liability and Business Automobile Liability, in the same manner that the Subcontractor would have been required to pursuant to this section had the Subcontractor obtained such insurance policies.

Commercial general liability and business automobile insurance policies shall provide that the required coverage be primary and non-contributory to other insurance available to the Agency and its officers, agents, and employees. Any other insurance maintained by the Agency and its officers, agents, and employees shall be excess of and shall not contribute with the Contractor's insurance.

For the Commercial general liability, business automobile liability, and workers' compensation insurance required below, the Contractor shall cause to be included in its policies insuring against loss, a waiver of the insurer's right of subrogation against the Agency and its officers, agents, and employees, or, if such waiver is unobtainable (i) an express agreement that such policy shall not be invalidated if the Contractor waives or has waived before the casualty, the right of recovery against the Agency and its officers, agents, and employees or (ii) any other form of permission for the release of the Agency and its officers, agents, and employees. A Waiver of Subrogation Endorsement shall be provided upon request. A blanket Waiver of Subrogation Endorsement evidencing such coverage is also acceptable.

Upon policy renewal/expiration, evidence of renewal or replacement of coverage that complies with the insurance requirements set forth in the Contract resulting from this RFP process shall be delivered to the Agency. If, at any time during the term of the Contract, the coverage provisions and limits of the policies required herein do not meet the provisions and limits set forth in this Contract, or proof thereof is not provided to the Agency, the Contractor shall immediately cease work. The Contractor shall not resume work until authorized to do so by the Agency.

Upon policy renewal/expiration, evidence of renewal or replacement of coverage that complies with the insurance requirements set forth in the MSA shall be delivered to HFA. If, at any time during the term of the Contract(s), the coverage provisions and limits of the policies required herein do not meet the provisions and limits set forth in this Contract(s), or proof thereof is not provided to HFA, the Contractor shall immediately cease work. The Contractor shall not resume work until authorized to do so by HFA.

The Contractor must furnish to the Agency evidence of the insurance requirements indicated below prior to execution of the awarded Contract. Contractors shall obtain and maintain in full force and effect, throughout the term of the Contract(s), at their own expense, the following insurance with limits not less than those described below and as required by the terms of the Contract, or as required by law, whichever is greater. The Agency reserves the right to modify these insurance requirements.

- 1.1.1 Commercial General Liability Insurance, including Contractual Liability of liability of no less than One Million U.S. Dollars (\$1,000,000) per occurrence, Two Million Dollars U.S. Dollars (\$2,000,000) aggregate and Products and Completed Operations. The limits of liability may be provided in a combination of a Commercial General Liability policy and Umbrella Liability policy, which is written on a no less than follow form basis. The policy should be written on the current edition of ISO occurrence form CG 00 01, or its equivalent, and must not include any exclusions or limitations other than those incorporated in the standard form.

The Contractor shall include coverage for on-going work and operations naming as additional insureds (*via ISO coverage forms CG 20 10 04 13 or CG 20 38 04 13, or a form or forms that provide equivalent coverage*): (a) for HFA, the New York State Housing Finance Agency, its Affiliates (*State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation*) and their officers, agents and employees. A blanket Additional Insured Endorsement evidencing such coverage is also acceptable. A self-insured Contractor shall be obligated to defend and indemnify the above-named additional insured, in the same manner that the Contractor would have been required had the Contractor obtained such insurance policies.

Coverage shall include, but not be limited to, the following:

- Premises liability;
- Independent contractors;
- Blanket contractual liability, including tort liability of another assumed in a contract;
- Defense and/or indemnification obligations, including obligations assumed the Contract;
- Cross liability for additional insureds; and
- Products/completed operations for a term of no less than three (3) years, commencing upon acceptance of the work, as required by the Contract.

- 1.1.2 Data Breach and Privacy/Cyber Liability Insurance, in an amount not less than One Million U.S. Dollars (\$1,000,000) each claim, Contractor is required to maintain coverage during the term of the Contract and as otherwise required herein, Data Breach and Privacy/Cyber Liability Insurance, including coverage for failure to protect confidential information and failure of the security of the Contractor's computer

systems due to the actions of the Contractor which results in unauthorized access of the data. Required insurance coverage limits may be provided through a combination of primary and excess/umbrella liability policies.

Said insurance shall provide coverage for damages arising from, but not limited to the following:

- Breach of duty to protect the security and confidentiality of nonpublic proprietary corporate information;
- Personally identifiable nonpublic information (e.g., medical, financial, or personal in nature in electronic or non-electronic form);
- Privacy notification costs;
- Regulatory defense and penalties;
- Website media liability; and
- Cyber theft of customer's property including, but not limited to, money and securities.

If the policy is written on a claims made basis, the Contractor must submit to the Agency an Endorsement providing proof that the policy provides the option to purchase an Extended Reporting Period ("tail coverage") providing coverage for no less than one (1) year after work is completed in the event that coverage is cancelled or not renewed. This requirement applies to both primary and excess liability policies, as applicable.

1.1.3 Professional Errors and Omissions for no less than One Million U.S. Dollars (\$1,000,000) for each claim and Two Million U.S. Dollars (\$2,000,000) in the aggregate. The coverage must include the following:

- Insure loss arising from any claim or claims made arising out of the scope of services during the policy period by reason of any covered error, omission or negligent act committed in the conduct of the insured's professional business during the policy period;
- If coverage is written on a claims-made policy, the Contractor warrants that any applicable retroactive date precedes the start of work; and that continuous coverage will be maintained, or an extended discovery period exercised, throughout the performance of the services and for a period of not less than three years from the time work under the Contract resulting from this RFP process is completed; Written proof of this extended reporting period must be provided to the Agency prior to the policy's expiration or cancellation; and
- The policy shall cover professional misconduct or lack of ordinary skill for the positions defined in the scope of services of the Contract resulting from this RFP process.

This policy requirement applies to both primary and excess liability policies, as applicable.

- 1.1.4 Automobile Liability, such insurance shall cover liability arising out of an automobile used in connection with performance under the Contract including owned, leased, hired and non-owned automobiles bearing, or under the circumstances under which they are being used, required by the Motor Vehicles Laws of the State of New York to bear license plates in the amount not less than One Million U.S. Dollars (\$1,000,000) per accident.
- 1.1.5 Workers' Compensation and Disability Benefits - Sections 57 and 220 of the New York State Workers' Compensation Law require the heads of all municipal and State entities to ensure that businesses applying for contracts have appropriate workers' compensation and disability benefits insurance coverage. These requirements apply to both original contracts and renewals. Failure to provide proper proof of such coverage or a legal exemption will result in a rejection of a Bid/Proposal or any contract renewal. A Bidder/Proposer will not be awarded a Contract unless proof of workers' compensation and disability insurance is provided to the Agency. Proof of workers' compensation and disability benefits coverage, or proof of exemption must be submitted to the Agency at the time of Bid/Proposer submission, policy renewal, contract renewal and upon request. Proof of compliance must be submitted on one of the following forms designated by the New York State Workers' Compensation Board. An ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.

Proof of Compliance with Workers' Compensation Coverage Requirements:

- CE-200 – Certificate of Attestation for New York Entities with No Employees and Certain Out-of-State Entities that New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required; or
- C-105.2 – Certificate of Workers' Compensation Insurance (or U-26.3 if insured through the State Insurance Fund); or
- SI-12 – Certificate of Workers' Compensation Self-Insurance (or GSI-105.2 Certificate of Participation in Workers' Compensation Group Self-Insurance); or
- Form GSI-105.2, Certificate of Participation in Workers' Compensation Group Self-Insurance, available from the Contractor's Group Self-Insurance Administrator.

Proof of Compliance with Disability Benefits Coverage Requirements:

- CE-200 – Certificate of Attestation for New York Entities with No Employees and Certain Out-of-State Entities that New York State Workers’ Compensation and/or Disability Benefits Insurance Coverage is Not Required; or
- DB-120.1 – Certificate of Disability Benefits Insurance; or
- DB-155 – Certificate of Disability Benefits Self-Insurance.

An instruction manual clarifying the New York State Workers’ Compensation Law requirements is available for download at the New York State Workers’ Compensation Board’s website at

<http://www.wcb.ny.gov/content/main/Employers/requirements-businesses-applying-government-permits-licenses-contracts.pdf> .

9.5 TAB 5: Diversity and SDVOB Proposal

Proposers that are certified in NYS as an MBE, a WBE, an MWBE and/or a SDVOB should attach evidence of NYS certification. Proposers are also subject to the Article 15-A and Article 17-B State law MWBE and SDVOB requirements. Such requirements include, but are not limited to, submission of the following information and forms, hyperlinked herein: (a) [EEO Staffing Plan, PROC-1](#); (b) [Utilization Plan, PROC-2](#); (c) [MWBE & EEO Policy Statement, PROC-4](#); (d) [Company Demographic Profile PROC-7](#); (e) [EEOC Statement, PROC-8](#), applicable to Proposers with 15 or more employees; (f) [Diversity Practices Questionnaire, PROC-9](#) and if applicable, [Request for Waiver Form, PROC-3 form](#).

10. Proposal Submission Instructions

A complete proposal for this RFP is comprised of five (5) separate tabs: (i) Tab One: Application Coversheet, Cover Letter and Proposal Certification (*includes completion of Attachment I*); (ii) Tab Two: Proposal Narrative (*includes completion of Attachment II*); (iii) Tab Three: Cost Proposal (*includes completion of Attachment III*); (iv) Tab Four: Administrative Proposal ([includes completion of Attachment V, if applicable](#)) and (v) Tab Five: Diversity and SDVOB Proposal.

Electronic Proposal Submissions must be bookmarked and submitted by email, in two parts, by the Proposal Submission Deadline indicated in the Calendar of Events and Milestones section of this RFP to Nyhomes.proposal@hcr.ny.gov , in searchable Portable Document Format (“PDF”) compatible with Adobe Reader XI, version 11.0.4. The Agency will not accept discs, flash drives or FTP file references that require the Agency to download information from the Proposer’s, or third party’s website. If the file is large, it may be submitted in multiple email attachments, with the proper Part One or Part Two label (if applicable) and “1 of X”, “2 of X”, etc., and the last email as “X of X – Final” for each additional email. This is the only acceptable form of e-delivery.

Electronic versions of each Proposal Submission must be broken down and labeled as separate attachments as indicated below:

- A. **Part I** shall include **three attachments, Tab 1, 2 and 3** of the proposal, and the subject line of the email for this section must be labeled: **“2023 MSS RFP – Part I, Tabs 1, 2 and 3”**.
- B. **Part II** shall include **two attachments, Tab 4 and 5** of the proposal, and the subject line of the email for this section must be labeled: **“2023 MSS RFP – Part II, Tabs 4 and 5”**.

Original sealed proposals are not required and the receipt of timely electronic proposals shall satisfy bid opening requirements. Any proposal received after the Proposal Submission Deadline indicated in the Calendar of Events and Milestones section of this RFP may not be considered for award. The Proposer submitting a proposal assumes all risks associated with delivery. The determination of whether any proposal was received on time is at the sole discretion of the Agency. All proposals and accompanying documentation become the property of the Agency and will not be returned. The Agency reserves the right to use any portion of the Proposer’s proposal not specifically noted as proprietary.

11. Proposer Inquiries and Revisions to this RFP

Questions or requests for clarification regarding this RFP should be submitted via email, citing the RFP page and section, to ContractUnitInfo@hcr.ny.gov on or before the specified Deadline for RFP Questions cited in the Calendar of Events and Milestones section of this RFP.

Questions will not be accepted orally, and any question received after the deadline may not be answered. The comprehensive list of questions/requests for clarifications and the official Agency responses will be posted to HCR’s website.

In the event that it becomes necessary to clarify or revise this RFP, HFA reserves the right to modify any part of this RFP including, but not limited to, the date and time by which proposals must be submitted to and received by HFA, at any time prior to the Deadline for Submission of Proposals indicated in the *Calendar of Events and Milestones section of this RFP*, with such clarification or revision to be made by addendum and posted to the Agency’s website at <https://hcr.ny.gov/procurement-opportunities>. Any addendum to this RFP will become part of this RFP and part of any contract awarded as a result of this RFP process.

Furthermore, a Proposer who discovers any ambiguity, conflict, discrepancy, omission or other error in this RFP, should immediately notify the Agency of such error and request clarification or modification to the document. Any Agency modification to the RFP, prior to the deadline for submission of proposals, shall be made by addendum.

If a Proposer fails to notify the Agency of a known error or an error that reasonably should have been known, prior to the Proposal Submission Deadline date, the Proposer shall assume the risk. If awarded

the contract, the Proposer 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 Proposers should check the Agency's website on a daily basis from the time of RFP issuance through the Proposal Submission Deadline date for updates to the RFP. It is the sole responsibility of the Proposer to be knowledgeable of all addenda related to this RFP process.

12. Evaluation and Selection Process

12.1 Evaluation Process

The evaluation process will include a comprehensive review and evaluation of each of the written proposals. The purpose of the evaluation is two-fold (1) to examine the responses for compliance with the requirements of this RFP and (2) to identify the complying Proposer that has the highest probability of satisfactorily performing the Scope of Work, described herein. The evaluation will be conducted in a comprehensive and impartial manner as set forth herein.

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

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

12.2 Preliminary Review

Proposals will be reviewed to determine if they meet the Minimum Qualifications indicated in Section 7 of this RFP. All proposals will be reviewed to determine if they contain all required submittals specified in this RFP. Incomplete proposals may be rejected. A proposal may be deemed non-responsive because it is materially incomplete. The determination of whether any proposal is complete or was received on time is at the sole discretion of HFA. HFA reserves the right to seek clarification or request missing or additional information.

12.3 Scoring and Evaluation

12.3.1 Evaluation Criteria

Proposals will undergo an evaluation process conducted by an HFA Review Committee (“Committee”). The Committee will evaluate proposals based on the qualifications and experience of the Proposer and its current personnel, utilizing the following criteria, not necessarily listed in the order of importance:

- Cost effectiveness, including discounts to governmental agencies, if any;
- Demonstrated experience, ability, competence, capacity, knowledge, technical expertise and qualifications of Proposer, its staff and its sub-Proposer(s), if any, to provide the Scope of Work indicated in the Scope of Service section of this RFP;
- Overall fit of the product and services to meet HFA’s needs;
- Ability to incorporate innovation and industry best practices in the Scope of Work;
- Diversity and commitment to equal employment opportunity;
- Other services and resources leveraged;
- Overall organization, completeness, and quality of response, including cohesiveness and clarity of response;
- Methodology and approach;
- Requested changes to the MSA in Attachment V;
- Avoidance of any potential conflict of interest or appearance of impropriety and policies designed to ensure the avoidance of such conflicts in the future;
- Financial stability;
- Interviews and/or demonstrations to clarify or expand on the RFP response (*to be conducted at the discretion of HFA*); and
- Any other identified risk factors.

The Committee may also consider any negative findings related to the Proposer, its subcontractors, if any, and any individual team members including, but not limited to, findings of nonperformance and contract defaults from any federal, state, or local entity, unpaid State or local taxes or fines; and any pending governmental, criminal, or civil investigations. Failure to disclose any of these findings, either in the Vendor Responsibility Questionnaire form or in a separate attachment, may result in the rejection of the proposal, at the sole discretion of HFA.

HFA retains the right to request any additional information pertaining to the Proposer’s ability, qualifications, financial capacity, financial stability, and procedures used to accomplish all work under the resulting Contract(s), as it deems necessary, to ensure safe and satisfactory work.

12.3.2 Technical Proposal Evaluation – 70 Points

The Agency’s Committee will independently score each Technical Proposal to identify Proposers with the highest probability of satisfactorily providing the services described in the Scope of Services of this

RFP. Evaluations will be based on the Proposer's demonstration of its ability to provide the services described in the Scope of Work section of this RFP.

12.3.3 Cost Proposal – 20 Points

The Agency's Contract Unit will examine the Cost Proposal documents and review them for responsiveness to cost requirements. If a Cost Proposal is found to be non-responsive, that proposal may be eliminated from consideration. All complete, responsive proposals will receive a cost score.

12.3.4 MWBE/SDVOB and EEO Scoring – 10 Points

The Agency's Office of Economic Opportunity & Partnership Development ("OEOPD") will examine the MWBE/SDVOB documents and review them for responsiveness to MWBE/SDVOB requirements. Proposals that have identified MBEs, WBEs, MWBEs or SDVOB as the Proposer to meet the Scope of Services are eligible to receive five percentage points.

Proposals that receive the five percentage points are eligible to receive an additional five percentage points if the Proposer's Staffing Plan demonstrates that a majority of its staff are comprised of minority, women or disabled veterans.

12.4 Interviews and Demonstrations

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

13. Notification of Selection

It is the intent of the Agency to award one contract to the successful Proposer of this RFP process. Upon notification of selection, the tentative awardee must provide the Agency with evidence of the Minimum Insurance Requirements outlined in Subsection 8.4.3 of this RFP. Non-awardees will also receive notification.

14. Contract Award

The term of the contract resulting from this RFP process is anticipated to be for a five-year period, with two optional two-year renewals and one optional one-year renewal, with contract and renewal subject to approval by the HFA Board of Directors. HFA, at its discretion, may exercise its option to modify any provision in the contract including, but not limited to, the scope of services and compensation, on an as-needed basis, with the mutual written consent of the contracting parties. Any contract that exceeds a five-year period will require the affirmative concurrence of HFA's Board to extend the contract beyond the five-year period without undergoing a new solicitation process.

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

~~The successful Proposer will be required to execute an agreement that incorporates (i) HFA's Standard Clauses for Contracts, hyperlinked herein as an Appendix I, (ii) HFA's Requirements and procedures for Participation by Minority Group Members and Women, hyperlinked herein as an Appendix II, and (iii) Confidentiality Pledge, signed by the successful Proposer(s), its subcontractor (s) (if any), and each individual of the Proposer and its subcontractor(s), if any, assigned to work on this HFA project.~~

~~The successful Proposer(s) will be required to execute a Master Services Agreement, see attached hereto as **Attachment IV**, that incorporates (i) HFA's Standard Clauses for Contracts, hyperlinked herein as an Appendix I (ii) HFA's Requirements and procedures for Participation by Minority Group Members and Women, hyperlinked herein as an Appendix II (iii) Confidentiality Pledge, in the Master Services Agreement (**Attachment IV**), signed by the successful Proposer(s), its subcontractor (s) (if any), and each individual of the Proposer and its subcontractor(s), if any, assigned to work on this Project. Any proposed deviations in the form of the MSA listed in Attachment V will be factored into the selection process. The MSA may be downloaded from HCR's website at: <https://hcr.ny.gov/procurement-opportunities>.~~

Proposal Checklist

CHECKLIST OF ITEMS TO BE RETURNED WITH YOUR PROPOSAL SUBMISSION:

- TAB 1 – Proposal Coversheet, Cover Letter & Certification, attached hereto as Attachment I
- TAB 2 – Technical Proposal as outlined in Section 8.2 of this RFP
- TAB 2– Proposer Experience Addendum, hyperlinked here as [Attachment II](#)
- TAB 3 – Cost Proposal Form, hyperlinked here as [Attachment III](#)
- TAB 4 - Administrative Proposal
 - Intent to Submit Proposal Form, RFP Form A
 - [Non-Collusive Bidding Certification Form](#)
 - [Vendor Information Form](#)
 - [Procurement Lobbying Form 1](#) and [Procurement Lobbying Form 2](#)
 - [Vendor Responsibility Questionnaire - For-Profit Business Entity](#)
 - Financial Statements or Tax Returns
 - [Vendor Assurance of No Conflict of Interest and Detrimental Effect](#)
 - [Certification Prohibiting State Agencies & Authorities from Contracting with Businesses Conducting Business in Russia under NYS Executive Order No. 16](#)
- TAB 5 – Diversity and SDVOB Proposal
 - [EEO Staffing Plan, PROC-1](#)
 - [Utilization Plan, PROC-2](#)
 - [Request for Waiver Form, PROC-3](#), if applicable
 - [MWBE & EEO Policy Statement, PROC-4](#)
 - [Company Demographic Profile, PROC-7](#)
 - [EEOC Statement, PROC-8](#)
 - [Diversity Practices Questionnaire, PROC-9](#)

Schedule of RFP Appendices

- Appendix I [Standard Clauses for Contracts with HFA](#)
- Appendix II [HFA’s Requirements and Procedures for Contract Participation by Minority Group Members and Women](#)

Schedule of Attachments

- Attachment I Proposal Coversheet, Cover Letter & Certification
- Attachment II Proposer Experience Addendum
- Attachment III Cost Proposal

Attachment IV Master Services Agreement (MSA)

Attachment V List of Exceptions to MSA

RFP Form A: Intent to Submit RFP Submission Form

New York State Housing Finance Agency

**REQUEST FOR PROPOSALS
FOR
MANAGED SECURITY SERVICES**

This is to notify you that it is our present intent to **submit** a proposal in response to the above-referenced RFP and to acknowledge that we have read the list of experience required to meet the minimum qualifications set forth in the Scope of Services section of the RFP.

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

Functional Area(s) of Interest: _____

Company Name: _____

Contact Name and Title: _____

Street Address: _____

City, State, & Zip: _____

Phone Number: Fax Number: _____

Email Address: _____

Authorized _____

Signature:

Name _____ Title _____

(____) _____ (____) _____

Phone Number Fax Number

Email completed form to: contractunitinfo@hcr.ny.gov

APPENDIX I
(Appendix I to follow this page)

APPENDIX II
(Appendix II to follow this page)

ATTACHMENT I

(Attachment I ~~to follow this page~~ [hyperlinked here](#))

ATTACHMENT II
([Attachment II](#) hyperlinked here)

ATTACHMENT III
([Attachment III](#) hyperlinked here)

ATTACHMENT IV
(Attachment IV hyperlinked here)

ATTACHMENT V
LIST OF EXCEPTIONS TO MSA

(to be completed by proposer in accordance with Section 9.4. TAB 4 titled “Administrative Proposal”)