NEW YORK STATE OF OPPORTUNITY. | Homes and Community Renewal

ANDREW M. CUOMO
Governor

JAMES S. RUBIN
Commissioner/CEO

QUESTIONS AND ANSWERS
Request for Proposals (RFP) for Business Application Modernization ("BAM") Project

Round 1 of Questions and Answers: (June 23, 2015)

1. Are interested parties allowed to attend the bidders' conference via a web meeting?
   Yes. Please refer to WEBEX and Audio Registration Information below:

WEBEX Topic:	**BAM Pre-Bid Conference**
Date:	**Wednesday, June 24, 2015**
Time:	**2:00 pm, Eastern Daylight Time (New York, GMT-04:00)**
Meeting Number:	**649 636 641**
Meeting Password:	**aa8899**
Webex Information:	**To Join the Webex Online Meeting, please access the link below:**

   https://meetny.webex.com/meetny/j.php?MTID=m40eee1b4630a306a66f3a0cbe5043277

   Audio Conference information:
   Local: 1-518-549-0500
   Toll Free: 1-844-633-8697
   Alternate Toll Free - (For callers not able to call the 844 Toll Free Number): 1-866-776-3553
   ****Prospective Proposers must submit their questions via the Online Chat.**

2. Could you please tell me, would the desired system also provide Human Resources & Payroll functionality, and if so, how many employees would be covered by the scope of this effort?

   The HR & Payroll functionality covered in the RFP is minimal. The Agency has in place systems to handle the majority of the functionality, which we do not plan to replace.

3. Can the single solution be comprised of multiple firms and platforms?

   Yes.

4. Is FoxPro being phased out?

   Yes.

5. What data and systems licenses will remain in place?

   Please refer to the Applications Data Flow diagram in the zip file on the site. Boxes with a black outline will remain as is. http://www.nyshcr.org/AboutUs/Procurement/BAM-RFP-Package.zip

6. Will the Agency make available on the web site a place where MWBE companies who are interested in participating can post their information for the prime vendors to view?
   Yes.

7. Can you let me know if the list of bidders will be available at some point?

   As part of this RFP, and consistent with Article 15 of the State's Executive Law and 5 NYCRR Parts 142-144 ("MWBE Regulations"), HFA encourages partnering and joint ventures between majority firms and MWBEs. In order to further the goal of increasing MWBE participation in this contract, HFA will provide prospective proposers a listing of firms who received copies of this RFP upon request. The listing of firms may include both MWBE firms and non-WBE firms.

8. Will the New York State Housing Finance Agency publish a list of the conference attendees with e-mail contact information to allow interested bidders to contact each other regarding possible teaming opportunities?
   Yes.

9. Please confirm the due date; page 1 says July 29, while page 9 says July 30.

   The Deadline for Proposals is July 29, 2015. Please refer to Amendment No. 1 Addendum posted to the Agency's website dated June 18, 2015.

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<u>Round 2 of Questions and Answers</u>: (June 24, 2015)

10. Section 7.1 Proposer Minimum Qualifications for ERP Solution(s) states that the Proposal must be able to cite successful implementations of an enterprise-wide SAP, Microsoft Dynamics, or PeopleSoft solution. What is the relevance of these particular ERP solutions? Are they currently in uses at the Agency or is this a list of the preferred ERP's?

    These were preferred solutions as outlined in the Gartner study, in addition to internal research conducted by the Agency. Other New York State agencies also currently use PeopleSoft.

11. Section 2.0 Purpose indicates the preference for a total solution. We are not aware of any single technology solution that can address the requirements of the Agency. Therefore, can the Proposer act as a service provider that includes the required business process services AND technology? In other words, the services provider would provide the combination of technology and services needed to fulfill the requirements of the Agency as a single provider using multiple technology platforms.

    Yes.

12. What is the Agency's strategy or requirement for a data warehouse that would facilitate reporting and analysis across all of the required platforms?

    The Agency currently does have a preferred strategy for a data warehouse. The Agency would like to leverage the inherent capabilities of an ERP system wherever possible.

13. Has the budget been allocated for the Business Applications Modernization Project? If so, how much is the budget and is there a term limit or expiration on this budget?

    The Project has been approved and there will be a budget assigned based on solution proposals.

14. Would you accept a proposal for extraction of business rules only and you select the vendor with the best proposal for implementation of rules in a COTS product?

    No.

15. I haven't see Attachment 10 posted yet on the website. Is there an update on when it may be posted?

    The Agency anticipates that this will be complete and posted within the next 2 business weeks.

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<u>Round 3 of Questions and Answers</u>: (July 2, 2015)

16. Will you consider moving up the deadline for questions and the deadline for your response to questions to an earlier date to allow time to prepare proposals?
    Yes. We will review the timeline and post any revised dates on the website.

17. Can we use our own Cost Template?
    The Agency requires proposers to complete the Agency's Cost Template provided for in the RFP. A proposer may submit additional cost information, separately, to the extent that these costs are not provided for on the Agency's Cost Template.

18. How long will it take for each phase to be completed? Is there are an estimated timeline?
    We are seeking proposers to provide this information to the Agency in their proposals.

19. Based on the Gartner study, is there an estimated number of project resources for this project?
    No, the number of resources will be determined by the proposer as per their solution.

20. What support can we get from the other agencies to develop this system?
    While the majority of this project will be supported by resources in this Agency, any dependencies or connections to other systems will have full support from the appropriate external Agency, where needed.

21. Since it is often very difficult to project expenses with respect to the Cloud computing and architecture, are those expenses covered by the Agency? Or should we cover the cost in our proposal?
    These costs should be included in your proposal.

22. Are you adamant about using SAP, PeopleSoft or Oracle? Are you open to other technologies?
    SAP, PeopleSoft and Oracle are the recommended and preferred technologies for the Agency.

23. Regarding the amended MWBE utilization goal of 35%, does the goal apply for implementation, or does the goal apply during the life of the contract?
    The MWBE participation goal of 35% is set for the life of the contract.

24. Are you requesting full-time staff on the premises? Will the state be offering people to support business process analysis and requirements?
The Agency wishes the selected contractor to have a core team on the Agency's premises for the implementation. The Agency will have a Business Analyst and Project Manager as well as business subject matter experts to assist with business process analysis and clarification of requirements.

25. What is the budget for this project?
The budget is dependent on the proposed solution.

26. Do you have people onsite to support the information gathering? To discuss business opportunities?
Business opportunity questions must be discussed with our Contract Officer, Lisa G. Pagnozzi. Please also refer to Q&A number 24 above.

27. Any restraints to outsourcing the work overseas?
The Agency would prefer to utilize on-shore resources, where possible. Any off-shore resources must be clearly described and indicated in the proposal.

28. What is the est. number of users? What is the est. growth rate?
Estimated number of users is 100. Growth rate is expected to be minimal.

29. Is there a transactional database for outside users?
No, but we have some web-based external user facing systems to enter data (e.g. borrowers can enter loan application data through SONYMA Express, which feeds into our internal systems). Please refer to the Applications Data Flow diagram in the zip file on the web site. Blue background boxes with a dashed outline refer to external interfaces.
[http://www.nyshcr.org/AboutUs/Procurement/BAM-RFP-Package.zip)](http://www.nyshcr.org/AboutUs/Procurement/BAM-RFP-Package.zip)

30. We're trying to determine if NYSHFA is within our target market and the primary indicator of that is the number of employees. As we determine whether to respond to this solicitation, it would be very helpful to understand the size of the organization to be covered.
There are 230 employees at the Agency. The user base is 100.

31. You request full time staff- is that for the entire development team or just one key individual, will you entertain part time? Obviously FT on site may add to the cost of the project.
As outlined in the proposed solution, the selected contractor(s) must provide critical core staff, on-site, as needed, for the duration of the project.

32. The Cost Template has Hosting line items for IaaS and SaaS/On Prem. In the IaaS model is the assumption that HCR staff are responsible for managing platform components and application operations/upgrades? As opposed to a SaaS model where those tasks would be done by the contractor?
The Agency requires that the proposer include the cost for maintaining the IaaS model, as the preference is for a vendor to manage it.

33. The RFP mentions that a single software solution would be preferred, however some of the functionality requested is far outside the boundaries of most ERP systems (for example, Tax Credit Allocation process). How will you decide where to accept generic functionality within an ERP system that might be 'good enough' vs specific functionality in a software package built for that part of the organization?
The Agency wishes to implement as few systems as possible for the solution; however, the Agency may select 'specialty' software packages that are outside of typical ERPs where a valid business case is presented.

34. Can a company respond to the RFP just to modernize the applications and provide results to be exported into a selected ERP system?
    No

35. Is an affiliate of an underwriter for SONYMA bonds excluded from submitted a bid?
    The affiliate may submit a bid, but on the condition that it may not exchange (give or receive) with the underwriter any information about the agency or its operations in connection with preparing and submitting their bid. Similarly, if selected as the winning bidder, there must not be any exchange of information between the affiliate and the underwriter about the agency or its operations.

36. In Appendix I, 4. NON-ASSIGNABILITY – Can this be made mutual?
    No.

37. Will the New York State Housing Finance Agency publish a list of the conference attendees with e-mail contact information to allow interested bidders to contact each other regarding possible teaming opportunities? QUESTION NUMBER 8 ABOVE.

    AGENCY'S REVISED RESPONSE: The Agency will publish a list of conference attendees on its website that includes e-mail contact information for those attendees that agreed to have their information published. Upon written request to the Agency, the Agency will forward prospective bidders the complete list of conference attendees with e-mail contact information.

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Round 4 of Questions and Answers: (July 10, 2015)

38. Will HCR consider a 2 week extension for the due date of 7/29/2015 to 8/12/2015 in order to provide a comprehensive and complete response?
Yes. Please refer to the amended timeline in the Addendum – Amendments to RFP posted on the Agency's website.

39. Could you please upload the Attachment 10 file to the portal site so vendors will have the opportunity to review the legal terms and conditions?
Attachment 10, the Master Services Agreement was posted to the Agency's website on July 6, 2015.

40. Please could you provide us with the number of lines of code in each application? If this is not available do you have the function point counts for the applications and the number of programs that make up each application.
The Agency declines to respond to this question, as we do not believe that it will provide significant information for the BAM project.

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<u>Round 5 of Questions and Answers</u>: (July 15, 2015)

41. I am contacting you in regards to your BAM RFP Due July 29th. I know questions are due today but if can we submit questions/or clarifications post the 15th? If so, do we address them to you?
The deadlines for both questions and the Submission of Proposals has been extended to July 28th at 12 pm and August 12th at 12pm, respectively. Please refer to the amended timeline in the <u>Addendum – Amendments to RFP,</u> hyperlinked herein.

42. Am I understanding correctly that the vendor selected from this Business Applications Modernization Project (BAM) RFP will develop specs for the actual ERP software? Will a separate solicitation be issued for the ERP Software?
The proposals that cover a total solution or the ERP portion of the solution must name the COTS ERP system that the Proposer will implement (e.g. SAP, Microsoft Dynamics). The Agency is not seeking a Proposer to create its own ERP platform.

43. Although they are generally indicated in the requirements documents, please provide a separate comprehensive listing of all distinct reports and distinct external system interfaces that will be necessary for the new system.
Please see the 'Attachment_04_NYSHCR_Application_Data_Flow' document for a comprehensive list of external system interfaces. The Agency is currently assembling a Report Inventory for all business areas and we anticipate this Report to be posted to the website shortly. Check the website periodically for updates.

44. Relative to "optional" functionality references, please clarify if proposers should (or should not) incorporate optional requirements in submitted pricing at this time or if these will be the subject of additional/enhancement work efforts at some point in the project's future.
Proposers should not provide pricing for the optional requirements described in Attachment_07_NYSHCR _Outlier_Functionality_Matrix. These requirements are shown in an effort to have a solution proposed that can interface with these systems as well as to indicate functionality that may be covered by the Proposers for future reference.

45. We have no problem working with other MWBE's, but we are a certified MWBE in NYS. Is it mandatory for us to include 35% MWBE participation being that is our classification with 100% participation?
The 35% overall MWBE participation goal may be satisfied when (i) the Agency directly contracts with a NYS certified MWBE and at least 35% of total expenditures under the agreement will be paid to the MWBE or (ii) the Agency contracts with a majority firm and at least 35% of total expenditures under the agreement will be paid to the majority firm's MWBE subcontractors.

46. How much percentage will you expect the ERP system fulfill your current business strategy?
    0%-30%
    31%-50%
    51%-80%
    81% - 100
    The Agency anticipates that the amount of functionality covered by the ERP portion of the solution will vary depending on the COTS ERP platform chosen. The preference is to have as much functionality as possible in the least amount of software solutions where feasible, using as much "out of the box" functionality as possible.

47. Do you have any anticipated timeframe to implement each phase? Please respond based on Gartner initial study.
    Based on the Gartner study, the Agency estimates the initial phase will take between 18-24 months to implement. However, the Agency is open to alternative timelines from Proposers, which should be described in their proposed solutions.

48. Do you have any anticipated budget to complete each phase of ERP implementation?
    This question has been answered previously.

49. Can you extend the proposal deadline date? After the QA, time line to respond the RFP is very less. Please consider.
    See response to Question 41. The deadlines were revised. Please check the website for the updated timeline.

50. Who will spend hardware, software, and license cost for this proposal? NY homes and community renewal or implementation vendor?
    This question has been answered previously.

51. Do you consider off shore model support for cost proposal?
    Although on-shore resources are preferred by the Agency, we will consider all proposals. Any off-shore resources must be clearly identified in the proposal.

52. Do you have any existing incumbent for this project?
    No.

53. Do you consider vendor to submit the partial RFP to support and being liaison/advisors between NY Homes and Community Renewal and implementation vendor?
    This question is unclear. We are seeking responses from solution providers / implementers only.

54. Each ERP software is different pricing for license and software cost may vary 300k to 1 million dollar based on the companies product. Do you already selected the product for this implementation like Oracle, Sap, Microsoft dynamics or ERP product yet to choose?
    The Agency's strong preference is SAP, Microsoft Dynamics AX or PeopleSoft. We would be open to other solutions if the Proposer makes a strong, compelling argument for it.

55. Do you allow initial time frame to study the project before the kick off the ERP implementation?
    It is up to the Proposer to factor in an initial analysis phase as part of their cost and implementation timeline.

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Round 6 of Questions and Answers: (July 29, 2015)

56. Please clarify the precise business process role and functionality performed by the JP Morgan Receivables Edge System.
Mortgagees send mortgage payment checks to the Agency's lockbox account at JPM. A JPM rep enters the check information (e.g. payee, amount, check number, invoice number, project) into the lockbox account via the JP Morgan Receivables Edge System (part of the JPMorgan Access system). An accounting rep at the Agency exports a CSV file with the above information from the JPMorgan Receivables Edge system and uploads it into our Mortgage Billing System, where it is matched and marked as paid.

57. I have a question regarding how the NYSFHA would like to contract with the selected vendor. I understand from page 13 of the RFP that the Authority would like to contract with a single entity for implementation of the BAMS system. As I read this, I believe that the Authority is talking about the implementation team and not software. Typically, a separate contract is issued to the software vendor as this improves pricing for the client.
The Agency wishes to contract with as few entities as possible for this project. The proposal must include software costs. If the software is available on contract with the State's Office of General Services (OGS), the Agency may elect to make the purchase separately; however, the proposal must include a clear roadmap for purchasing such software with secured pricing from the OGS contract that includes implementation, support and maintenance fees. These software costs must be itemized in the proposal.

58. Of the 100 users, can you distinguish at all between "ERP users" and users of the "Outlier Functions" that would not be using the ERP functions?
Currently, we have the following breakdown of users per area: ERP, 90; Investment Portfolio & Bond Admin, 31; Loan Origination & Servicing, 100 (50 Single Family, 50 Multifamily); Grants Management, 38; Property Asset Tracking, 47.

59. Please give guidance on the length of historical data required for debt management, loan management and investment accounting. How much historical data would you expect to be loaded? Please provide an historical data starting date and anticipated project implementation start date.
Please refer to the 'Attachment_11_NYSHCR_Application_Databases_Growth_Volumes' document for details on data amounts and date ranges. Further guidance concerning the amount of historical data will also be posted to the Agency's procurement opportunities webpage.

60. What kind of Services and software for Trades and Investment system?
    This functionality is being handled over the phone via a broker.

61. Is there any external System currently used for Trades and Investment system?
    No, this is being done over the phone via a broker.

62. Do you use any external Bank System for HFA Mortgage Billing Systems? Based on the document we see JP Morgan Chase Bank is used. What kind of services and application used with JPM Chase?
    Industry standard Lockbox / wire services.

63. Do you have any Bank linked for ACH Transaction services for the system In/Out?
    The Agency is linked with many standard financial institutions.

64. Is there Single or Multiple Bank involved for Loan Tracking System?
    The Agency is linked with many standard financial institutions.

65. What Kind/Types of external third party Services and software we use with the current System?
    Please see Attachment_04_NYSHCR_Application_Data_Flow for a full description of the application landscape.

66. How much Manual Effort that are currently used in the systems?
    The Agency currently has many manual processes. These are also outlined in the Attachment_04_NYSHCR_Application_Data_Flow document.

67. Can we provide a Quote only for Project Management and advisory between NYHCR and implementation vendor?
    No.

68. Can we provide a Quote only for Resources Management for Business Analysis/Project Manager and Subject matter expert and not for complete solution?
    No.

69. Do we need to provide Cost for Hardware and software also? Usually in our experience, customer will take responsible for hardware and software license cost and expenses. Please clarify.
    Refer to response in question number 57 above.

70. Regarding the Umbrella Liability Insurance requirements, will you consider lowering the limits?
    The Agency is discussing the insurance requirements and will post responses to insurance related questions as soon as possible.

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Round 7 of Questions and Answers: (July 30, 2015)

71. What is the "as of" date for data conversion for data related to the Outlier document?
The current state of all data history and size can be viewed in Attachment_11_NYSHCR_Application_Databases_Growth_Volumes. The Agency is currently analyzing possible "as of" dates and plan to post updates soon.

72. Please provide the approximate number of tax lots for all assets as related to your investment accounting system.
While the various trustee banks may keep tax lot information, we do not use it internally.

73. RFP Section 8.2 General Technical landscape states that the "Proposer must thoroughly review:
    (a) Can the bidder bid only on the scope captured in requirements matrix and not bid on the scope defined in outlier_functionality_matrix?
    The Agency strongly prefers a total solution (i.e. all phases of the project), which would include responding to the Attachment_07_NYSHCR_Outlier_Functionality_Matrix, Attachment_08_NYSHCR_Requirements_Matrix and Attachment_12_NYSHCR_Reports_Inventory_Matrix; however, a proposer may submit a proposal on a portion of the total solution or elect to partner with other vendors to provide a more comprehensive solution.

    (b) Does a bidder have to respond to both Attachment_08_NYSHCR_Requirements_Matrix AND Attachment_07_NYSHCR _Outlier_Functionality_Matrix?
    See response to question number 73.(a) above.

74. With respect to RFP Section 8.3.3 Phase 3 - Single_family Escrow:
    (a) Where is this captured in Attachment_04_NYSHCR_Application_Data_Flow?
    Single Family Escrow will be new functionality to support programs that the Agency is rolling out this year. It will be handled manually until an automated system is in place. The requirements are described on the 'SF Escrow Administration' tab on Attachment_08_NYSHCR_Requirements_Matrix. Also please see Phase 3 in the Attachment_04_NYSHCR_Application_Data_Flow diagram. The SF Escrow solution will need to interface with Emphasys.

    (b) Is this done manually currently or there is a system that needs to be replaced?
    See response to question number 74.(a) above.

75. With respect to RFP Section 8.3 Phased approach: is the bidder expected to provide costing of all phases or just Phase 1?
See response to question number 74 above.

76. Section 8.4.2 of the RFP ("Define Functional Requirements") states "To identify data conversion requirements, the successful proposer will work with the Agency to develop a tentative data conversion strategy …"
    - **(a)** Do you expect bidder to provide data conversion costs for this implementation? If yes, could you provide details about what data, agency would like to be migrated and how many years of transactional data is needed?
    Yes, see response to question number 59 above.

    - (b) Additionally, can we assume that agency has resource to extract the necessary data from the source system and provide it to us in the format requested?
    Yes.

77. With respect to RFP Section 8.5.1 ("Disaster Recovery Plan") of the RFP:
    - (a) Does the agency expect bidder to include the cost of Disaster recovery site as part of the costing?
    Yes, if the submitted proposal is for a hosted cloud solution, the Agency's preference. The Agency currently has a DR site for their on-premise systems.

    - (b) Does the agency expect DR site to be of the same server specification and expected performance as the production environment?
    Yes. This is currently what the Agency utilizes.

78. Section 8.6 of the RFP ("Testing") states "The successful Proposer's implementation team testers will test the application / system within production - like environment, recording defects as needed and exercising various test types (i.e. stress, performance, regression, functional, etc.)
    - (a) Regarding stress testing, what is the stress test goal that the Agency is looking for?
    Stress testing should be able to verify that the new system can handle current maximum transaction levels. Please refer to the posted SLA documentation, Schedule_03.5.1_New_York_State_Housing_Finance_Agency_Service_Level_Agreement for the various service level targets and Attachment_11_NYSHCR_Application_Databases_Growth_Volumes.

    - (b) For performance testing - what performance goal is the Agency looking for?
    As the Agency is moving to an entirely new platform, a new baseline will have to be set for system performance. Please refer to the posted SLA documentation, Schedule_03.5.1_New_York_State_Housing_Finance_Agency_Service_Level_Agreement for the various service level targets.

    - (c) Is the Agency expecting the Proposer to use automated stress testing tools and provide results to the Agency?
    Yes, Stress testing using industry standard tools and reporting of results to the Agency should be part of the testing plan.

79. With respect to Section 8.8 (“Work Location”) of the RFP:
    (a) Section 8.7 says that the "primary contractor will have presence onsite during any session involving interviewing the agencies' staff" but Section 8.8 says that Proposer must deploy its core team members on-site. These two sections seem to be conflicted. Please clarify.
    The Agency desires the proposer to have core team members on-site through all phases of the project, including the analysis phase.

80. Attachment_09_BAM_Unified_Cost_Template does not have place to cost out the expenses. How does the Agency want the Proposer to present expenses associated with travel/lodging/per diem for onsite resources?
    The proposer should be able to project and build these costs into the implementation portion of the cost template. The proposer can choose to call out the projected expense costs of this section in further detail in a separate document they create.

81. RFP Section 10 (“Contents of the Proposal”) states "In addition to meeting the qualifications described in the ……and include a proposed Project Plan (as described in subsection 8.4.3 of this RFP)…the sub section 8.4.3 says that the "Successful Proposer" will create a comprehensive project plan after the award of the contract. Section 10 directs to include a proposed Project Plan now. Please clarify. A lot of information to be include in the Project Plan (in section 8.4.3) cannot be provided till after the contract award and till we collaborate with agency project team.
    While a detailed project plan may not be able to be created until after the contract award, the proposer should be able to provide a high level project plan showing estimated resources, timeline, milestones, etc. The level of detail in this project plan is left up to the proposer.

82. With respect to RFP section 10.2.4.5d (“Project Approach”). Section 10.2.4.5e is also called Project approach. It looks like section 10.2.4.5e, 10.2.4.5f and 10.2.4.5g should be sub section of 10.2.4.5d. Please confirm.
    This is correct.

83. RFP Section 10.2.3b Approach to Meeting the functional and technical requirements. "Supplement the completed requirements matrices with additional details describing how the solution will meet the requirements, including a proposed project plan, methodology, and timeline."
    (a) The information related to approach, schedule is also asked in section 10.2.4.5d/e/f/g. It looks like the same information is asked in both sections. Please clarify where does the Agency expect Proposer to provide this information - section 10.2.3b or 10.2.4.5d/e/f/g?
    Section 10.2.4.5 d/e/f/g.

84. With respect to “Attachment_09_BAM_Unified_Cost_Template:”
    (a) One of the line items is Training cost. The RFP does not provide any guidance about training requirements. Is the Agency looking for train-the-trainer model?
    The Agency would like the proposer to present a training approach and solution. A ‘Train the Trainer’ model is an acceptable approach.

    (b) If the Agency is looking for Proposer to conduct end user training, how many users are there for each function area?
    Currently, we have the following breakdown of users per area: ERP, 90; Investment Portfolio & Bond Admin, 31; Loan Origination & Servicing, 100 (50 Single Family, 50 Multifamily); Grants Management, 38; Property Asset Tracking, 47.

85. With respect to Section 8.3.1a ("Core Finance and Accounting") of the RFP:
    (a) HUD reporting is included as Phase 1. For LIHTC reporting, tax credit information is captured by Property Asset tracking system. Why is it marked as an ERP function?
    According to the initial analysis from Gartner, this functionality should be able to be provided as an ERP function, however, the Proposer should recommend the appropriate area where this functionality should be covered in the proposed solution.

    (b) Can the Agency provide details of the InCheck application? For example, overview of the purpose, use, functionality, etc. of the application.
    It provides basic checkbook register functionality.

86. With respect to RFP Section 8.3.1a ("Core Finance and Accounting – Payroll"):
    (a) Can the Agency please confirm that payroll is limited to interface with ADP and that there is not payroll functionality expected within ERP?
    Confirmed. ADP will continue to handle payroll functionality for the Agency.

    (b) In regards to the Payroll Integration tab of Attachment_08_NYSHCR_Requirements_Matrix, can the Agency confirm the expectation that the applicable coding strings will be managed in the external payroll system and that the requirements listed are for the payroll integration to ensure that this information is "passed to" the ERP system with the integration?
    Confirmed.

87. Please provide number of proposed users of the proposed system by function area. Of the 100 current users, do all users require unilateral, full-access? For example, how many users will use each module / function of ERP system requested? This information is required to present accurate licensing model / cost estimate.
    See response to question number 84 above.

88. With respect to "Attachment_11_NYSHCR_Application_Databases_Growth_Volumes", all the systems combined together are 1 GB in size. Could you give some data volumes in terms of transactions. e.g. number of GL entries / month, no. of AP vouchers/month, no of warrants / month, no. of Purchase orders / month or any other pertinent information that will provide insight into the transactional volumes?
    The current state of all data history and size can be viewed in Attachment_11_NYSHCR_Application_Databases_Growth_Volumes. The Agency operates at a low volume transaction level.

89. With respect to "Attachment_09_BAM_Unified_Cost_Template", is the Agency looking for a fixed price quote? If it is fixed price, how would the Agency recommend handling costs associated with custom reports development? It is not known at this time how many reports can be used out of the box and how many reports will need to be custom developed.
    Yes, the Agency would like a fixed quote which reflects the total cost of implementation. The proposer should provide their best quote based on current requirements. Current reporting requirements are described in Attachment_12_NYSHCR_Reports_Inventory_Matrix.

90. With respect to RFP Section 10.2.4.5g ("Level of Effort"):
    (a) Is the Agency is asking for level of effort by role or by deliverable?
    Both. This should be a matrix of roles, hours per role and deliverables that can be pivoted to show cost by deliverable or resource.

    (b) Could you please clarify if you are looking for level of effort in hours or by cost?
    Total hours by role and cost per hour.

(c) Could you please clarify the level of details the Agency is looking for from a deliverable perspective? Costing spreadsheet is at implementation and training level. Are you looking for?:
   i. Role1 - Implementation - No of hours / Cost
   ii. Role2 - Training - No of hours / Cost
   iii. Role3 - Training - No of hours / Cost

   Yes.

(d) Can you also please clarify whether the table summarizing the level of effort per key role is for the Agency roles, vendor roles or both?
   We would like to see this for the Vendor side.

91. Does the Agency have any internal mandate / desire to go live with each phase of the project by a certain timeline?
    The Agency would like to have the solution implemented as soon as possible. Please refer to response in question #47 above.

92. With respect to "Attachment_04_NYSHCR_Application_Data_Flow," is there any integration between the AHC Grants Management system and the Project Tracking?
    Currently the two systems are distinct, with no direct integration, however, both systems share some functionality such as event and milestone tracking. Phase 2A (Please see Attachment_04_NYSHCR_Application_Data_Flow diagram) proposes the introduction of a new Grants Management system, which may integrate AHC and EIS Project Tracking functionality. The Agency wishes the Proposer to recommend the appropriate solution.

93. With respect to "Attachment_08_NYSHCR_Requirements_Matrix:"
    (a) General Ledger, lines 372 and 375. Can the Agency please provide more details on "Novice" and "Experienced" modes?
    A 'Novice' user would be a user who selects from a simple drop down menu of reports while an 'Experienced' user would be creating semi-customized reports; i.e., date ranges, selecting fields, etc.

94. With respect to "Attachment_08_NYSHCR_Requirements_Matrix" of the Technical Requirements Tab:
    (a) Line 39 states "The system shall be rules-driven…" can the Agency please provide details on what applicable HCR rules and regulations need to be met by the system's rules-driven, table driven and configurable capabilities?
    This is meant to be a general requirement. The Agency would like the system to be built on a configurable, table driven model where applicable, rather than a hard-coded system that requires custom source code changes by a developer, e.g. rule changes, drop-down list values.

    (b) Line 92 states "The system shall adhere to NYS Security Policies…" can the Agency please provide the NYS Security Policies and Standards?
    The NYS Security Policy and Standards will be available post vendor selection.

    (c) Line 93 states "The system shall ensure all information is properly classified…" can the Agency please provide the NYS Data Classification standards and policies?
    After further review by the Agency, it was decided that this requirement is not mandatory.

    (d) Line 109 states "The system shall successfully complete…" can the Agency please provide details/requirements of the NYS ITS Security Accreditation process?
    After further review by the Agency, it was decided that this requirement is not mandatory.

95. Please explain what a Furman Center file is.
The Agency provides housing data (e.g. project units, buildings, contacts and events) from our EIS (Executive Information System) via a database query exported into a spreadsheet and emailed to The Furman Center, a research facility affiliated with NYU that publishes statistical analysis of housing trends and requirements in NYC.

96. Is the agency planning on implementing all phases as part of this RFP?
Yes, the Agency's preference is to implement a solution that covers all phases of the RFP.

97. The requirements section (spreadsheets) are mainly focused on phase 1 and phase 2, is there another set of requirements that we are missing that will cover the other phases?
The requirements for the other phase are also included (e.g. MWBE and Single Family Escrow). Please refer to the updated RFP and Appendices for updated tabs on the requirements matrices (e.g. Debt Issuance, Multi-Family Underwriting, and Single Family Loans Origination & Servicing) as well as the new Attachment_12_NYSHCR_Reports_Inventory_Matrix for reporting requirements.

98. In your Gartner presentation, it states that the Emphasys suite will be maintained for the near future. Is the plan to replace Emphasys as part of this RFP?
Yes, but in a later phase of the project. It's built using old technology (AcuCOBOL) and we would like to combine it with Multi-Family Loans Origination & Servicing, as deemed feasible by the Proposer.

99. Regarding the Master Agreement whether will language and changes/additions to terms be acceptable?
Yes, however, the amount of proposed changes to the MSA will be a part of the selection criteria as called out in section 11.1 of the BAM RFP.

100. Will subcontractors be required to furnish proof of insurance that meets the same criteria as insurance for prime contractors?
No, only the prime contractors will be required to furnish proof of insurance to the Agency that meets the criteria described in the RFP. The prime contractor will determine the appropriate insurance requirements in its subcontracting agreement(s).

ANDREW M. CUOMO
Governor

JAMES S. RUBIN
Commissioner/CEO

QUESTIONS AND ANSWERS
Request for Proposals (RFP) for Business Application Modernization ("BAM") Project

Round 8 of Questions and Answers: (August 4, 2015)

101. The insurance requirements in Section 6.8 of the RFP and particularly those in Section 6.8.1 ($4 million in general aggregate general liability), 6.8.3 ($15 million in professional liability) and 6.8.5 ($15 million in umbrella/excess liability) are significantly higher than those typically required by other agencies. Would HFA consider reducing these requirements overall or accepting waiver requests from MWBE firms post-award? The bond requirement of 10 Million is also very steep and the Liability insurance requirement and umbrella are quite steep, can they be reduced? Will HCR consider reducing the liability insurance provisions in 6.8.1 and 6.8.5, or Comprehensive General Liability and Umbrella Excess Liability? Do the professional liability insurance limits apply to subcontractors? Will subcontractors be required to furnish proof of insurance that meets the same criteria as insurance for prime contractors?

    The Agency has finalized its Insurance Requirements. Please refer to Amendment No. 6 (August 3, 2015) for the general contractor's insurance requirements, hyperlinked herein as Amendments – Addendum to RFP, revised as of August 3, 2015. The RFP, amended as of July 23, 2015, includes the following new provision relating to the Agency's intent to enter into one contract with a single Proposer.

    The Agency's intention is to enter into one contract with a single Proposer (the "General Contractor" or "GC") that provides a total solution. Notwithstanding the foregoing, a Proposer may submit a proposal for a specific component of a total solution, with the understanding that the Agency reserves the right to select such Proposer as a subcontractor and, if so selected, such Proposer will be required to subcontract with the GC. While it is expected that the successful GC will indicate in its proposal (i) all subcontractor(s) that it proposes to use, (ii) the applicable component(s) of the total solution to be covered by such subcontractor(s) and (iii) the pricing of such applicable component(s), it should be understood that the Agency reserves the right to require the successful GC to subcontract with any firm(s) selected by the Agency as a subcontractor (including in lieu of any subcontractor named in the successful GC's proposal). Any subcontractor of the GC (including any selected by the Agency) and the proposed component(s) to be covered by such subcontractor must be approved by the Agency. Any subcontracting agreement between the GC and its subcontractor must receive the prior written approval of the Agency.

    The insurance requirements in the RFP are only applicable to the GC. The Agency reserves the right to set minimum insurance limits in any subcontracting agreement between the GC and its subcontractor.

In addition, notwithstanding the above, the Agency reserves the right to enter into separate direct contracts with a GC and another firm. In the event the Agency wishes to enter into such separate contracts, insurance requirements with such other firm will be disclosed at the time of tentative contract award.

102. With respect to “Attachment_08_NYSHCR_Requirements_Matrix:”
    (a) General Ledger, line 13- “Ability to support creation of as many sets…” Does this mean unlimited books for a single entity or as many entities as needed?
    The Agency will require the ability to create multiple entities, and multiple books for each entity.

103. Are proposers allowed to submit a bid on only the scope defined in Attachment_07_NYSHCR_Outlier_Functionlaity_Matrix in addition to partnering with other vendors to combine and provide a more comprehensive solution to HCR? More specifically, are bidders allowed to respond on more than one proposal (e.g. sole proposal and partner proposal) to allow the agency to pick and choose certain components of solution as it sees fit?
    See response to question number 73. A proposer may submit a proposal on a portion of the total solution and/or elect to partner with other vendors to provide a more comprehensive solution.

104. Will the Agency consider adjusting the RFP response deadline one week to 8/21? The extension will allow proposers sufficient time to review responses to questions and proposed changes (e.g. minimum insurance coverage) that have not been posted yet as well as assess all the responses provided so far, changes and additions to the RFP and attachments as well as thoroughly review and complete necessary additional appendices such as Attachment_12_NYSHCR_Reports_Inventory_Matrix.
    See response to question 101 for the Agency’s updated insurance requirements. The Proposal Submission Deadline has been extended to August 20, 2015. Please refer to <u>Amendments – Addendum to RFP</u>, revised as of August 3, 2015.

105. If my company doesn't have a particular skill but an employee is highly experienced, can we still be deemed qualified?
    Please refer to the section in the RFP relating to qualifications and experience, including minimum qualifications.

106. What is the budget of NYSHCR? (Cost Proposal)
    See response to Question 25.

107. Since we are going to proposing multiple COTS solutions, is it better to send the agency each of them as individual proposals/responses in order to facilitate the selection in case only one of our COTS solutions get selected? Or is it better to send them as one proposal?
    In the case where the proposed solution will cover the entire scope of the requirements, even if using multiple COTS solutions, please send as one proposal. In the case where the proposed solution is only for a portion of functionality, please send as individual proposals.

108. Although they are generally indicated in the requirements documents, please provide a separate comprehensive listing of all distinct reports and distinct external system interfaces that will be necessary for the new system.
    AGENCY’S REVISED RESPONSE TO QUESTION 43:
    ***Please refer to ‘Attachment_12_NYSHCR_Reports_Inventory_Matrix to BAM RFP Appendices 150723.zip’, which was posted to the Agency’s procurement site on 7/23/2015.**

QUESTIONS AND ANSWERS
Request for Proposals (RFP) for Business Application Modernization ("BAM") Project

<u>Round 9 of Questions and Answers</u>: (August 11, 2015)

109. With respect to RFP Section 10.2.4.5a: The RFP states that the proposer's Project Manager and the Technical Lead must be dedicated full-time to the project and thus on-site during necessary activities of the project according to responses in the Questions and Answers ("Q&A") document. Can you provide more details on the Technical Lead role the Agency envisions? In our experience, a Technical Lead is primarily involved in integration and customization related work. Based on our experience, the Agency may want to consider a full-time dedicated Lead Functional Consultant/Business Analyst instead to lead solution architecting and analysis activities.
The Technical Lead role is our recommendation. If the Proposer has a different role structure in the proposed solution, we will review and make a decision accordingly.

110. Several questions inquiring about the proposed hardware costs are listed on the Q&A document. For example, the response to question 69 states to reference the response to question 57. However, question 57 provides a response to only the software portion of the question. In our experience, public sector entities typically procure hardware directly from hardware providers with negotiated rates or leverage existing internal infrastructure. That being said, are bidders expected to provide hardware costs given the unknowns of HCR's existing hardware and potential contracting options?
If an on-prem solution is being proposed, the Agency would need to increase its storage capacity, obtainable by the Agency by utilizing State contracts, unless the Proposer is able to obtain a lower price; however, the Agency prefers a cloud solution and would need to factor in hardware costs for both of the above scenarios.

111. "Attachment_04_NYSHCR_Application_Data_Flow" shows that HRIS functionality is expected to be replaced by the ERP solution in Phase 1. Likewise, the response to question 2 in the Q&A document states that there is some minimal Human Resources functionality covered in the RFP. Section 8.3.1 of the RFP does not list any human resources functionality in the phased approach of the project. Also, there are no apparent human resources functionality requirements in the requirements matrix aside from the payroll integration items.
    (a) Can the Agency please clarify what, if any, functionality is expected to be part of ERP and what functionality will remain outside as part of existing systems?
    The Agency is not seeking to replace any other existing HR functionality. Currently, HRIS is mainly used as a repository for employee and salary information.

    (b) Can you please clarify if the Agency is expecting the ERP solution to produce the reports listed on the HRIS tab?
    Only the ones that are marked as "Y" in the "In Current Usage" column.

112. With respect to Section 10.2.3b of the RFP, can the Agency confirm all users will be at one location? Can the Agency confirm there are no remote users?
The Agency expects the majority of users will be local, with a small amount of remote users.

113. With respect to "Attachment_04_NYSHCR_Application_Data_Flow:"
(a) Does the Agency expect the ADP payroll integration to interface directly with the General Ledger module in ERP?
Currently we get a file feed from ADP, which we manually import into the payroll system that feeds into ECS, which updates the GL accordingly (see Attachment_04_NYSHCR_Application_Data_Flow). We plan to continue using ADP and would expect a similar flow into in an ERP system except that we'd like it automated, if possible.

(b) Does ADP payroll integration need to interface with modules other than General Ledger (e.g. expenditures)?
This is dependent on the ERP solution, as functionality can vary between ERP platforms. It should be a feed into the GL or the module used to control expenditures in the proposed ERP solution.

(c) Can the Agency provide a template (e.g. Microsoft Word document) version of Attachment_04_NYSHCR_Application_Data_Flow?
The Agency added a Visio version to the Appendices (see Attachment_04_NYSHCR_Application_Data_Flow.vsdx.).

114. Do you have any reporting requirements – State filings, regulatory, NAIC, SEC, etc. – that would require you to have data in our systems for the full year? If not, could you convert the data/migrate the data from your legacy system into ours, as of a recent month-end or quarter-end?
The Agency will require the ability to run reports on historic data currently in the system. Once we cutover to the new system, we must abide by our current year end (October 31st). We will extract the data from our systems and provide to the implementer. We do not have NAIC or SEC filing requirements.

115. Please provide discrete user counts for each system – GL, ECS, UnitBudget, Invest, DebtServ, Mortbill, Tax, Partlend, EIS, etc. Of these user counts for each system, how many are "power" users" vs "read only" or "reports only" users? Please also provide concurrent user counts for each system, if available. (Section 7.1)
Currently, we have the following breakdown of users per area (Note: Some users have access to more than on area): ERP, 90; Investment Portfolio & Bond Admin, 31; Loan Origination & Servicing, 100 (50 Single Family, 50 Multifamily); Grants Management, 38; Property Asset Tracking, 47. All users should be considered 'power' users. Further breakdown will be available after vendor selection.

116. Please provide transaction volumes in each system (e.g. chart of accounts codes, number of disbursements, mortgage accounts, vendors, projects, etc.). (Attachment 7 and 8)
The current state of all data history and size can be viewed in Attachment_11_NYSHCR_Application_Databases_Growth_Volumes. The Agency operates at a low volume transaction level, with approximately 150k mortgage accounts, 100 active projects, and a low level of disbursements. Further details will be available after the vendor engagement.

117. Please provide a list (no names required) of subject matter experts that NYSHCR will provide to participate on the project and the Full Time Equivalent time they will spend on the project. (Section 10.2.4.5b)
There will be SME's from the various business areas available part-time as well as the following resources from IT:

- **CTO – Part-Time**
- **Project Manager – Full-Time**
- **Business Analyst – Full-Time**
- **Application Development Manager – Part-Time**
- **DBA – Part-Time**
- **2 Developers – Part-Time**
- **Reporting Developer – Part-Time**
- **IT Infrastructure Analyst – Part-Time**

118. Please provide details of HUD compliance and reporting requirements. (Section 8.3.1a)
Please see Attachment_01_NYSHCR_Application_Descriptions for new details added for the HUD process; however, the requirement will be for the new system to have project and tenant information available for the Agency to extract the data and upload to HUD. Attachment_04_NYSHCR_Application_Data_Flow box has been changed to black to reflect this accordingly.

119. Please detail expected timeline of all phases if any. (Section 8.3.1-8.3.5)
See response to question number 18.

120. Please detail the composition of the investment portfolio. (Section 8.3.1a)
The investment portfolio consists of US Treasury Bills, Bonds, Notes, Strips, Federal & State Agency bonds, Muni bonds, Bank Agreements, Repurchase Agreements, Certificate of Deposits, and Mortgage Pools.

121. Reporting Hierarchy as it pertains to the different agencies the treasury module will support. (Section 8.3.1b)
There is no Agency Hierarchy.

122. Are the account posting specifications standardized across all agencies for a given financial instrument class? (Section 8.3.1 entire section)
Yes.

123. Are the period end process (Accruals, Amortization and Mark to Market), standardized across all agencies for a given financial instrument class? (Section 8.3.1 entire section)
Yes.

124. Transaction volumes per month for a given financial instrument class? (Section 8.3.1 entire section)
Generally, there are about 300-500 transactions per month for U.S. Treasury Securities which form the bulk of our investment.

125. Is the investment portfolio restricted to USD only? (Section 8.3.1 entire section)
Yes.

126. Detail operational, managerial and executive reports required? (Section 8.3.1 entire section)
On 7/23/2015, the Agency added Attachment_12_NYSHCR_Reports_Inventory_Matrix to BAM RFP Appendices 150723.zip on procurement website.

127. Current framework of treasury controls and transaction processing steps required: Front Office > Middle Office > Back Office. Any automated trade data-dependent Workflow processes required? (Section 8.3.1 entire section)
No.

128. Current number of Security Accounts / Brokerage Relationships? Are automated reconciliations required for every Account? (Section 8.3.1 entire section)
See responses to questions numbers 60 and 61.

QUESTIONS AND ANSWERS
Request for Proposals (RFP) for Business Application Modernization ("BAM") Project

Round 10 of Questions and Answers: (August 14, 2015)

129. Regarding the Notice of Interest Form, are you asking for a "high level" or details and itemizing of each item we will be submitting for interest? Section 6.4 in the RFP says the Notice of Interest Form should be returned by the date identified in the "Calendar of Events and Milestones" section of the RFP. However, I do not see an entry in the calendar indicating a date to return the form.
Please return the form via email to Lisa.Pagnozzi@nyshcr.org as soon as possible. Please itemize the specific services that your firm intends to propose to the Agency.

130. I do not see a section in the RFP directing me how to submit a "no bid" for this request.
The Agency will accept a letter explaining why your firm chose not to bid. Please return the letter via email as soon as possible to Lisa.Pagnozzi@nyshcr.org.

131. With respect to the "MWBE & EEO Policy Statement PROC-4," AMENDMENT No. 5 (July 23, 2015) revised overall MWBE goals from 30% to 35%. The PROC-4 form lists MWBE Contract Goals as original 30%. Can the Agency please provide an updated form for proper's to fill out and include with proposal submissions?
The revised MWBE & EEO Policy Statement PROC-4 indicating revised MWBE goals has been posted to the Agency's website.

132. Given the Agency has a preference for a hosted cloud solution, are there certain state-mandated minimum security compliance requirements the solution needs to adhere to such as CJIS, FedRAMP, etc.?
Because of the sensitivity of the Agency's data (e.g. names, address, ssn#'s, emails and account#'s) we would require a private cloud solution. The hosting provider needs to be FISMA and NIST compliant. Formal certification by a recognized governing body (e.g. FedRAMP, CSA Star) is preferred. If not certified, a published self-assessment by a recognized governing body, which can be accomplished by filling out the CSA Cloud Controls Matrix (hyperlinked herein), is the minimum requirement.

133. With respect to Section 10.2.3b of the RFP, can the Agency please provide the following information to allow bidder's to develop accurate infrastructure recommendations: Upload bandwidth (Mbps), Download bandwidth (Mbps) and WAN connection latency (milliseconds)?
The Agency currently has 20Mbps download speed. The Agency plans to increase this accordingly to accommodate the new systems. We do not have more details at this time.

134. With respect to “Attachment_04_NYSHCR_Application_Data_Flow”, can the Agency please provide details around the Travel Voucher System (TVS) such as details on the application, functionality and necessary integrations?
The Travel Voucher System is a SharePoint 2010 application that provides travel authorization, expense submission and reporting. Please refer to Attachment_04_NYSHCR_Application_Data_Flow for the integration points.

135. Within Section 3 Overview of the Agency and its Affiliates, how many loans per year does HCR handle?
Approximately 35 Multi-Family and 850 Single-Family loans per year.

136. With respect to “Attachment_04_NYSHCR_Application_Data_Flow”:
(a) What type of data is expected to be fed from NSP Grants Disburse Management and Grants Management systems to the new ERP solution respectively?
Please review the Current State diagram in Attachment_04_NYSHCR_Application_Data_Flow. The AHC and NSP applications interface with the GL System.
(b) What type of interface to ERP is expected to occur from NSP vs. Grants Management?
Once the ERP has been implemented and the Grant Management System has replaced the AHC Application, it’s assumed that the Grants Management System will need to interface with the ERP’s General Ledger, as well as, NSP.

137. Our understanding is that there are several agencies within New York State Homes and Community Renewal agency. Do the agencies that use systems involved in the BAM project operate as separate entities? To clarify, do these agencies have different EIN numbers?
Yes, each agency has its own EIN.

138. Would HCR take on the responsibility for developing or changing the interfaces from the system that will continue "as-is"? Can we assume that most of these interfaces are file based (csv, excel) interfaces and HCR will be able to provide the interface file in the format requested by the vendor? If HCR can only provide the data in a file format of their choice, it HCR expecting the vendor to estimate transforming the data and format to the one required by the vendor?
Yes, the Agency will handle any required changes to the interfaces for the “remain as-is” applications. All interfaces are excel or csv.

139. With respect “Attachment_08_NYSHCR_Requirements_Matrix”:,
(a) In the response to Q&A 113, the Agency confirmed that the ADP payroll integration will only need to interface into the General Ledger or appropriate module used to control expenditures. In requirement 11, “Ability to download payroll information” on the Payroll Integration tab of the requirements matrix, states there is required functionality to download payroll information from ADP to “Payroll System.” The added requirements from 8/11/15 also list functionality to generate reports. Can the Agency confirm the expectation that all reporting functionality in the payroll requirements is to be generated from data fed to the General Ledger module from ADP? If the Agency has other payroll information aside from financials necessary to be integrated into ERP system then additional module(s) may be necessary with significant additional effort.
The Agency’s Payroll application’s functionality is expected to be replaced by the new ERP system, so the reference to Payroll in line 11 should assume the ERP. The reports should be equal to or similar to the ones specified to meet the business’ needs. It’s up to the Proposer to decide the best way to handle this functionality given their specific software solution.

140. With respect to "Attachment_04_NYSHCR_Application_Data_Flow", MortBill is replaced in Phase 1 but it does not indicate which system replaces it. Can the Agency clarify how it expects MortBill to be replaced in the BAM project?
See the newly published Attachment_04_NYSHCR_Application_Data_Flow diagram which now illustrates the MortBill replacement.

141. With respect to "Attachment_08_NYSHCR_Requirements_Matrix," the requirements matrix lists required functionality pertaining to fixed assets/asset management, however such is not mentioned in the application data flow or list of modules/systems to replace during the implementation. Can the agency please clarify how fixed asset functionality is managed currently?
Currently, the Agency does not maintain any fixed asset ledgers, as most fixed assets are expensed when purchased; however, we would like the ability going forward to record and manage fixed assets and associated depreciation within a new ERP system.

142. With respect to "Attachment_04_NYSHCR_Application_Data_Flow," which system currently performs the Accounts Receivable functions? Can the agency please elaborate on AR functions needed?
See the Attachment_08_NYSHCR_Requirements_Matrix Accounts Receivable tab for details regarding requirements.

143. With respect to "Attachment_06_NYSHCR_641_Application_Inventory," HRIS time shows up as partially replaced by LATS. What function of HRIS time is envisioned to be incorporated into ERP?
Employee personnel information related to payroll and time accrued. (Salary, SSN#, title, employee type, vacation and sick time, etc.) will required be to migrated to the ERP.

144. With respect to "Attachment_04_NYSHCR_Application_Data_Flow:"

(a) Payroll shows as a system that is replaced by ERP after phase 1. Since agency is using ADP is there a reason why agency is not using the reporting functionality provided by ADP?
Due to the FoxPro Payroll application being tightly coupled with the FoxPro HRIS (Time) application and the Fox ECS application, a decision was made by the previous Agency's FoxPro Development team to continue using the FoxPro Payroll reports as means to minimize the ADP integration into Agency's systems.

(b) In Q&A question #1, agency indicated that they do not intend to replace HR and payroll functionality. Could you please clarify?
The Agency will to continue use ADP for payroll.

(c) This attachment marks Tax also as Accounts Payables but Tax is essentially to maintain escrow information and make payments to tax agencies and keep the escrow balances updated according to the requirements matrix.
The Tax system handles payment of all taxes and insurance for all of HFA outstanding mortgages. It tracks the payment history, requirements, produces bank instructions and does GL postings.

(d) What system performs other payables functions that involve paying vendors for goods and services?
The Expenditure Control System, EIS handles Accounts Payable. See Attachment_08_NYSHCR_Requirements_Matrix Accounts Payable tab for details regarding requirements.

(e) Tax system looks like part of Property management system more than ERP with an interface to ERP for payments. Could you please explain why is it envisioned to be part of ERP?
As per the Gartner study relating to the Agency's applications, the Gartner team has suggested that the Tax application functionality should be handled under the ERP.

(f) Phase 1 TBD data flow has interface from EIS / Project tracking to ERP and from ERP to LIHTC HUD website. What information will be interfaced from EIS/Project tracking to ERP and what information is expected to come out of ERP to be provided to LIHTC HUD website? Could you also confirm that ERP to HUD LIHTC website interface is a flat file upload to HUD LIHTC Website?
Project, building and tenant information are currently extracted from EIS, converted into an XML file in the HUD Extract process, which this will remain as-is, and then sent to HUD for upload. The diagram shown on Attachment_04_NYSHCR_Application_Data_Flow with the TBD flow is a solution proposed from Gartner that has the Property Asset Management system (EIS's replacement) feeding this data into the ERP and the ERP will make that data available; however, it's up to the Proposer to decide the right application and best way to make this information available, given their specific software solution, so the Agency can run its HUD Extract process against it and upload to HUD.

(g) Is the Travel Voucher System used to request travel authorization or submit expenses after travel is completed or other functionality?
See response to Question number 134.

145. With respect to "Attachment_08_NYSHCR_Requirements_Matrix – Account Payable Tab:"

(a) Is the Agency using requisition functionality such as issuing Purchase Orders for purchasing activities or only using invoices? According to the Accounts Payable tab in the Requirements Matrix, the latter is currently assumed but we would like to clarify.
Yes, the Agency is using requisition functionality as we issue Purchase Orders ("POs"). POs are issued through the Expenditure Control System (ECS).

(b) Several requirements detail functionality involving EDI such as line 134 on the Accounts Payable Tab, "Ability to accept and process invoice…" The EDI interfaces do not appear in the application data flow diagram and the number of trading partners to exchange documents with is not identified. Can Proposers assume the Agency will provide an EDI software package compatible with preferred ERP solutions? Can we assume there are 4 trading partners and 2 documents (820 and 810)?
Accounts Payable ("A/P"), like most of our other functionality, is manual. The Agency does not currently have any EDI interfaces. An electronic A/P feed in the future might be useful; however, it is not a high priority item at this time.

146. When is the Agency's fiscal year?
October 31 is the fiscal year end for the Agency.

147. Can the Agency please provide the hierarchical structure of the overall agency in terms of entities? This will help to properly assess how many legal entities and what types of entities may be required to setup. In addition, can the agency provide levels and details of consolidation of entities?
See response to Question number 121.

148. With respect to "Attachment_08_NYSHCR_Requirements_Matrix," some requirements list the need for multi-currency functionality. Can the agency please confirm if it is a multi-currency environment?

No, the Agency does not use multi-currency.

149. With respect to “Attachment_04_NYSHCR_Application_Data_Flow,” can the Agency please provide a description including functionality of the Personnel Information Management System (PIMS)? Can the Agency also please provide the type of data expected to interface from PIMS to the new ERP solution and whether that is a bi-directional integration?
Personal Information Management System (PIMS) is a web based system that maintains employee personnel related information. HR is the primary users of the system and the interface to PIMS is TBD.

150. Response to historical data question 59/71
The number of years of historical data varies among applications. The majority of the applications date back 15 years to present day with the oldest being around 30+ years. Please see the Attachment_11_NYSHCR_Application_Databases_Growth_Volumes for details on specific application date ranges.