



Request for Proposals for
Investment Management
Software
RFP # 6563

September 22, 2020

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Section 1. General Information

A. DASNY Description

The Dormitory Authority State of New York (“DASNY”) is a public benefit corporation, an independent corporate agency with governmental functions delegated to it by the State of New York empowered by Titles 4 and 4-B of the Public Authorities Law (the “Act”). DASNY is authorized to finance, design, construct or rehabilitate buildings for use by various public and private not-for-profit corporations.

DASNY’s two primary lines of business are debt issuance and construction management. DASNY provides services to various clients within two major categories: private institutions, which generally include clients qualified under Section 501(c)(3) of the Internal Revenue Code (e.g. not-for-profits healthcare clients and independent colleges, universities and other not-for-profits), and public entities, which include the State University of New York (SUNY), the City University of New York (CUNY), New York State (NYS) agencies and municipal facilities. DASNY issues debt for three purposes, for both its public and private clients: (i) new money debt to fund new money projects and grants,(ii) refunding debt to refund previously issued DASNY bonds, and (iii) refinancing debt to refund or refinance non-DASNY bonds and commercial loans.

DASNY is one of the largest issuers of tax-exempt debt in the nation and currently has several hundred series of tax-exempt and taxable bonds outstanding with a total par value of approximately \$58.2 billion as of March 31, 2020. During fiscal year 2019-20, DASNY sold 28 bond issues totaling \$9.7 billion.

DASNY’s investment portfolio during the 2019-20 fiscal year fluctuated between \$5 billion and \$6.5 billion in assets. The portfolio is currently held with four bond trustees and one corporate banking partner. Bi-monthly check runs require the movement of monies between all banks to fund each check run to facilitate reimbursements and vendor payments. The portfolio includes DASNY operating and reserve funds and client equity and bond proceeds, which DASNY invests on behalf of itself and our clients, exclusively in fixed income assets in accordance with DASNY’S investment policy and guidelines and the underlying bond resolution. Investment types are limited to U.S. Treasury Obligations, callable and non-callable Federal Agencies Obligations (including GSEs), tax exempt Municipal Bonds, Money Market Mutual Funds, collateralized non-negotiable certificates of deposit, collateralized investment agreements (long-term repurchase agreements), Commercial Paper and Bankers’ Acceptances. During fiscal year 2019-20, DASNY recorded approximately 13,000 purchase and sale transactions in its investment system.

DASNY’s construction division provides a multitude of services in various forms in connection with the design, construction and financing of capital facilities for its clients.

B. Purpose

This Request for Proposal (“RFP”) solicits proposals from software vendors who offer Investment, Risk Management and Compliance (for example, authorization limits, collateral monitoring, calculation of market values, alerts when certain criteria are met) modules with agile reporting capability in a secure platform that will include software implementation services, ongoing training and technical support.

A Cloud-based system can either be Software-as-a-Service (“SaaS”) or Software-as-a-Product (“SaaP”) and should accommodate a minimum of 40 users. While a cloud-based system is preferred, DASNY will consider on-premises alternatives.

DASNY will also consider Cash Management and Accounting modules as an ancillary service that would complement the Investment System. The Cash Management system would be used to coordinate cash position, maturities, disbursements across multiple financial institutions; coordinate wire transfers, and the sale and purchase of securities executed through the Bloomberg Terminal. The Accounting module would be used for confirmation and/or posting of cash receipts and interfacing with our accounting system, JD Edwards World.

C. Key Events/Dates

Provided below is the schedule for milestones in this RFP process, listed in order of occurrence. DASNY reserves the right to change any or all of these dates as it deems necessary or convenient in its discretion. **Proposing firms are responsible for periodically checking DASNY's website for updates, clarifications and other important information concerning this RFP.**

Issuance of RFP	09/22/2020
Deadline for Informational Session Registration	09/29/2020
*Informational Session (optional)	10/8/2020
Deadline for RFP Questions	10/15/2020 (5:00pm)
Post Responses to RFP Questions	10/22/2020
Proposal Due By	11/5/2020 (5:00pm)
Interviews (week of)	12/07/2020
Onsite visit (if necessary)	TBD
Board Approval (if necessary, not earlier than)	January 2021
Notice of Award (not earlier than)	February 2021

* An optional Informational Session will be held via webcast. This Session will include an overview of DASNY's Investment Management processes and current systems. **Those wishing to attend the Informational Session should submit their registration by email to: UpstateRFPCoordinator@dasny.org. For participation in the WebEx session please click the following link: [Click here](#)**

Section 2. Engagement Requirements

A. Scope of System and Services

The Proposer shall have a system with the following functionalities:

- Able to manage an investment portfolio with a minimum of **7,000** accounts.
- Configurable workflows with user-defined business rules, processes and securities. It should allow for notifications and concurrent reviews on any single workflow.
- Strong integration capabilities with JD Edwards World (JDE) and third-party systems.
- Able to price all assets at month end via a pricing file that can be stored in a library for historical reporting purposes, or the ability to interface with a pricing vendor with historical pricing capabilities.
- Enhancement of mobility and reporting capabilities. Including download/export of data and Ad hoc reporting.

The system, services and product requirements are more fully described in Section 10.

B. Specific Requirements

- The system must be able to generate income projection and inventory market value reports and provide the necessary reporting to meet Government Accounting Standard Board Statement No.40 (GASB 40, Deposit and Investment Risk) and Government Accounting Standard Board Statement No.72 (GASB 72, Fair Value Measurement) requirements.
- The system must be able to **calculate various interest and amortization methods** for a variety of investment type (e.g. fixed and floating rate instruments).
- The system must be able to group/filter data based on key identifiers.
- The system must be able to provide and store month end pricing files in a security pricing library or be able to interface with a pricing vendor.
- Vendor must have an organization entity that is made up of dedicated personnel responsible for ensuring that: (a) Confidentiality of assets are protected against unauthorized access, (b) Integrity of assets are maintained, (c) Availability of assets are provided and business continuity and disaster recovery plans are produced, maintained, and tested, (d) Applicable regulatory, legislative, and contractual requirements are met, and (e) Maintain a risk management culture that incorporates the capturing, documenting and reviewing of risks that could impact the confidentiality, integrity and availability of systems and processes with senior management on a routine basis.

C. Additional Information

The selected Vendor will be required to migrate a minimum of 7,000 investment accounts from the current systems to the new Investment Management system. As of March 31, 2020, the investment system had approximately 2,800 active investment line numbers, and approximately 65,000 matured/sold investment line numbers for the last eight fiscal years. During implementation DASNY will determine how many of the historical matured/sold line numbers will be transferred over to the new system. Additionally, the selected vendor will be required to establish external links to DASNY's trustees, custodian banks and external vendors. Below are two summarized lists of current systems and external/ internal links.

1) Current Systems:

No.	Application	Functionality
1	SunGard- APS2- Investment	Use for Investment Portfolio Management including housing of purchase and sales of various fixed income securities, standard, regulatory and custom reporting, GL interface, trade import and securities library. The system tracks the investments, and calculates interest earned, accrued interest, and monitors securities maturity.
2	SunGard- APS2-Collateral	House off-balance sheet items including letter of credit and surety bonds.
3	Bloomberg Financial Terminal	FIT Platform: Used for the purchase and sale of Fixed Income Securities except the purchase of Agency Discount Notes. BOOM Platform: Used for the purchase of Agency Discount Notes. The trade records are uploaded to SunGard APS2 Investments module.
4	JD Edwards World	General ledger accounting system. Interfaces with SunGard system to post investment activity.
5	Excel	Used to coordinate cash position, disbursement, and the purchase and sale of investment securities.

2) External / Internal Links:

External/ Internal	#	Application	Functionality	Type
External	1	SQL Database	Pulls daily transactional data from the trustee into an SQL database via API or FTP , maps the data fields with SunGard, and moves the data into SunGard.	Trustee & Custodian
	2	SQL Database	Pulls trade data from the Bloomberg Blotter into an SQL database via API , maps the data fields with SunGard, and moves the data into SunGard.	Financial Institution
Internal	1	SQL Database	Compares electronic bank statements from the trustee/ custodian to SunGard monthly statement via the account number with the same cutoff date. If there are errors, the SQL database will flag them and allow users to investigate them further and take corrective actions.	
	2	JD Edwards World	Provides various data points for bond and investment transactions reconciliation, as well as specific program management, e.g. Mental Health Program.	Software firm

D. Minimum Qualifications

Proposals will be considered only from Proposers that are capable of performing the required services identified in **Section 2A & 2B** and are able to show evidence of the following insurance requirements:

1. Workers' Compensation Law Requirements

a. The CONSULTANT shall purchase at its own expense and maintain until final acceptance of the Project by the OWNER, from a company or companies licensed or authorized to do business in New York State, or otherwise acceptable to the OWNER, insurance policies containing the following types of coverages and minimum limits of liability protecting from claims which may arise out of or result from the performance or non-performance of services under this Contract for consultant services by the CONSULTANT or by anyone directly or indirectly employed by it, or by anyone for whose acts it may be liable. The CONSULTANT shall not commence work under the Contract until the CONSULTANT has obtained all the insurance required under this Article:

- 1) C-105.2 (September 2015, or most current version) - Certificate of Workers Compensation Insurance. The insurance carrier will provide a completed form as evidence of in-force coverage.
- 2) U-26.3-Certificate of Workers Compensation Insurance from the State Insurance Fund. The State Insurance Fund will provide a completed form as evidence of in-force coverage.
- 3) GSI-105.2 (2/02 or most current version) - Certificate of Participation in Workers' Compensation Group Board-approved self-insurance. The NYS Workers' Compensation Board's Self Insurance Office or the Contractor's Group Self Insurance Administrator shall provide a completed form.
- 4) SI-12 (5/09 or most current version) Affidavit Certifying That Compensation Has Been Secured. The NYS Workers' Compensation Board's Self Insurance Office or the Contractor's Self Insurance Administrator shall provide a completed form.

b. Disability Benefits

- 1) DB-120.1 (September 2015, or most current version) – Certificate of Insurance Coverage under the NYS Disability Benefits Law. The insurance carrier will provide a completed form as evidence of in-force coverage.
- 2) DB-155 (September 2016, or most current version) Certificate of Disability Self Insurance. The NYS Workers' Compensation Board's Self Insurance Office will provide a completed form.
- 3) CE-200-Certificate of Attestation of Exemption. (Note: This form will only be accepted as evidence of an exemption from providing Disability Benefits insurance as required by law. DASNY will *not* accept this as an exemption from providing Workers' Compensation Insurance) The Certificate may be obtained from the NYS Workers Compensation Board's website at <http://www.wcb.ny.gov/content/main/Forms.jsp>. The CE-200 cannot be used

for multiple projects. Therefore, a new form must be completed prior to award of any subsequent contracts. All forms are valid for one year from the date the form is signed/stamped, or until policy expiration, whichever is earlier.

2. Commercial General Liability which includes the entities Dormitory Authority State of New York and the State of New York with per-occurrence and aggregate limits of not less than Two Million Dollars (\$2,000,000). The limits may be provided through a combination of primary and umbrella/excess liability policies. The Proposer shall list any deductible or SIR (Self-Insured Retention) and provide a copy of the endorsement.

Coverage shall include, but not be limited to, Blanket contractual liability and Completed Operations coverage for a term of no less than three (3) years.

3. Commercial Comprehensive Automobile Liability and Property Damage covering all owned, leased, hired and non-owned vehicles used in connection with the Work with combined single limits of not less than One Million Dollars (\$1,000,000.00) each person/each accident for bodily injury and property damage.

4. Umbrella and/or Excess Liability policies used to comply with CGL, Automobile Liability and Employers Liability limits shown above may be warranted to be in excess of limits provided by primary CGL, Automobile Liability and Employer's Liability.

5. Technical Errors and Omissions/Professional Liability Insurance and Cyber Risk Insurance with a limit of not less than One Million Dollars (\$1,000,000) and subject to a deductible, or self-insured retention, of not more than One Hundred Thousand Dollars (\$100,000.00) per claim. Such policy(ies) shall include the Dormitory Authority – State of New York as Additional Insured with respect to claims brought by third parties in connection with work performed by the Proposer. Such policy(ies) shall also remove any exclusion that restricts or eliminates coverage for claims brought by DASNY against the Proposer that would otherwise be covered by the policy. The cyber risk policy shall provide coverage for any incremental costs incurred by DASNY to investigate and remediate any data breach that may have exposed DASNY's data. The policy should provide third party coverage for both DASNY and our clients.

A Certificate of Insurance, indicating the Program, must be submitted, and approved by DASNY prior to the commencement of work. Certificate shall provide 30 days' written notice prior to the cancellation, non-renewal, or material modification of any policy. Upon request, the Proposer shall furnish DASNY with certified copies of each policy.

Section 3. Diversity and Inclusion

A. Workforce

DASNY is committed to diversity and equal employment opportunities among its contractors and consultants. This procurement is conducted in accordance with New York State Executive Law Articles 15-A and 17-B. It is the policy of DASNY to maximize opportunities for the participation of certified minority and women-owned business enterprises ("MWBE") and service-disabled veteran-owned businesses ("SDVOB") as bidders, subcontractors, subconsultants, and suppliers on projects.

Although no goals for participation in the services by certified MWBE and SDVOB vendors have been set for this procurement, it is the goal of DASNY to utilize qualified vendors that have a demonstrated history of hiring, training, developing, promoting, and retaining minority and women staff.

By responding to this RFP, each firm acknowledges that:

1. The Proposer will submit their equal employment opportunity policy statement to DASNY.
2. The Proposer will not discriminate against any employee or applicant for employment because of race, creed, color, sex, religion, national origin, military status, sexual orientation, age, disability, genetic disposition or carrier status, domestic violence victim status, or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and will make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on contracts with DASNY.
3. The Proposer will state in all solicitations or advertisements for employees that, in the performance of this Contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, sex, religion, national origin, military status, sexual orientation, age, disability, genetic disposition or carrier status, domestic violence victim status, or marital status.
4. The Proposer will submit to DASNY, a completed Diversity Questionnaire provided by DASNY, which includes information on the Proposer's total work force, broken down by specified ethnic background and gender. The Proposer should also complete a staffing plan of the anticipated work force to be utilized on the engagement with DASNY. The Proposer should also include information on its current programs in diversity/inclusion.

B. Accessibility - Third Party Web-Based Information and Application Development

All solicitation documents, contracts and any amendments executed by State Entities containing a scope of work requiring development, procurement, and/or maintenance of ICT shall include the following clause:

Any network-based information and applications development, or programming delivered to or by the State pursuant to this contract or procurement, will comply with Section 508 of the Rehabilitation Act of 1973, as amended, and be consistent with **New York State Enterprise IT Policy NYS-P08-005, Accessibility of Information Communication Technology**, as such policy may be amended, modified or superseded (the "Accessibility Policy"). The Accessibility Policy requires that State Entity Information Communication Technology shall be accessible to persons with disabilities as determined by accessibility compliance testing. Such accessibility compliance testing will be conducted by DASNY and any report on the results of such testing must be satisfactory to DASNY.

Section 4. Inquiries/Questions & Answers

A. Inquiries

All inquiries concerning this RFP, or any other aspects of this procurement must be emailed to:

Jacqueline McGovern
RFP Coordinator E-mail: UpstateRFPCoordinator@dasny.org

B. Questions & Answers

There will be an opportunity available for submission of written questions and requests for clarification regarding this procurement. All questions and requests for clarification of this RFP should cite the particular RFP Section and paragraph number where applicable and must be submitted via email to UpstateRFPCoordinator@dasny.org and include "Investment Software" in the subject line no later than **5:00 PM EST October 15, 2020**. Answers will be posted to DASNY's website on or about **October 22nd, 2020**.

No firm which is considering submitting a proposal or which has submitted a proposal shall contact any DASNY employee other than the contact person listed above during the period of the RFP process about any matters related to the RFP or any proposals submitted in response to this RFP. Such contact may result in the rejection of the proposal.

Section 5. Evaluation of Proposals

A. Selection Process

The selection process will begin with the 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 this RFP, and (2) to identify the complying firms that have the highest probability of satisfactorily performing the scope of services. The evaluation will be conducted in a comprehensive and impartial manner as set forth herein.

B. Preliminary Review

DASNY reserves the right to reject and return to the Proposer all proposals received after the RFP due date and time. All proposals will be reviewed to determine if they contain all required submittals specified in this RFP. Incomplete proposals will be disqualified automatically from this RFP process. Proposals that pass the preliminary review will then be subjected to an evaluation.

C. Evaluation

Proposals will undergo an evaluation process conducted by DASNY employees ("Evaluation Committee"). The Evaluation Committee will evaluate the proposals based on the criteria for selection set forth below. Proposers may be requested by DASNY to clarify the contents of their proposals. Other than to provide such information as may be requested by DASNY, no Proposer will be allowed to alter its proposal or add information after the Deadline for Submission of Information. DASNY, at its sole discretion, but in accordance with the provisions of this RFP, will determine which proposals best satisfy its requirements.

D. Criteria for Selection

Proposals will be evaluated on the following criteria and points:

Criteria	Points	Section
Experience and Qualifications	10	10.D.2-4
Software Functionality	30	5.E,10.A-C, 10.D.5,9,10 & 10.E
Implementation and Integration Methodology / Approach Used	20	10.D.7-8 & 10.D.11-15
Cost	30	10.D.6
Record of Diversity and Inclusion (i) Diversity Questionnaire which captures the Proposer's equal employment opportunity and staff diversity; (ii) the diversity of the staff that will be substantially involved in work performed for DASNY.	10	3 & 10.L

E. Interview - Phase I

DASNY reserves the right to determine whether interviews with one or more of the proposing firms will be necessary. The purpose of the interview is to assist DASNY in better understanding the Proposer's system capability and the ability to provide the services and how specific services will be furnished. Key personnel who are solution and/ or technical experts should be present and participate in the interview. The interview will be evaluated based on whether it substantiates the characteristics and attributes identified by the Proposer in its written response to this RFP and any other information requested by the Evaluation Committee prior to the interview.

If DASNY determines that interviews are necessary, the selected Proposer(s) shall participate in a 4-5-hour interview to be held either via webcast or at DASNY's Albany office in December 2020. DASNY will notify the selected Proposer(s) of their assigned date and time, along with specific demo scenarios using DASNY data and questions to be addressed during the interview under separate correspondence. The selected Proposer(s) should send a demo link to the DASNY RFP Coordinator as indicated in Section 4A and expect to provide a comprehensive system demonstration that would be used by DASNY if selected, highlighting some of the key features, including application functionality, feasibility and performance, product roadmap and customer support, etc. In addition, the Proposer(s) may be asked to address items specific to their submitted proposal.

F. Site Visit- Phase II

DASNY reserves the right to shortlist Proposers after the interview. If shortlisted, the selected Proposer(s) shall be prepared to:

1. Confirm that the list of clients provided in Section 10.D.3 to DASNY is still valid.
2. Conduct a virtual meeting at the Vendor's corporate offices with the Committee and the Vendor's Corporate Officers for discussion related to corporate philosophy, product roadmap, customer support, etc. DASNY will provide the site visit agenda once it is deemed necessary. Additional demonstration of the product to the DASNY Committee during the meeting may be requested.
3. If requested, DASNY may ask a client to demonstrate the product virtually as referenced in Section 10.D.3 to the DASNY Committee

Section 6. Submission of Proposals

A. Response Submission

Proposers responding to this RFP must satisfy all requirements stated in this RFP. Section 10 provides the format and information to be provided by each proposer. **Please provide the information in the same order in which it is requested.** Your proposal must contain sufficient information to assure DASNY of its accuracy.

Proposers should note that all clarifications and exceptions are to be resolved prior to the submission of a proposal. Solicitation documents may, from time to time, be amended or addenda issued. It is the Proposer's responsibility to become aware of any such amendments and/or addenda prior to submission of a proposal. All amendments and/or addenda to solicitations will be posted on DASNY's website.

Firms must submit one (1) electronic copy of their proposal in PDF format. Proposals received after the due date will be rejected and returned. **Proposals must be submitted and include "Investment Software" in the subject line before 5:00 pm EST on 11/5/2020 to:**

Jacqueline McGovern

RFP Coordinator

E-mail: UpstateRFPCoordinator@dasny.org

An authorized official shall commit the company to a contract to sign the proposal. All proposals and accompanying documentation will become the property of DASNY and will not be returned. The content of each firm's proposal will be held in strict confidence during the evaluation process and no details of any proposal will be discussed outside the evaluation process.

Section 7. Important Information Affecting Proposers

A. Proposal Requirements

1. A proposer may withdraw a proposal any time prior to the final due date and time by written notification, signed by an authorized agent, to the contact person identified in **Section 4A** above. The proposal may thereafter be resubmitted, but not after the final due date and time. Modifications offered in any other manner, oral or written, will not be considered. DASNY will not be liable for any costs incurred by a proposer in the preparation and production of a proposal and/or an interview.
2. If a proposer discovers an ambiguity, conflict, discrepancy, omission or other error in this

RFP, the Proposer should immediately notify the contact person identified in **Section 4A** above. Notice of such error or omission should be submitted prior to the final due date and time for submission of proposals. Modifications shall be made by addenda to this RFP. Such clarifications shall be posted on DASNY's website.

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

B. DASNY's Requirements

1. By submitting a proposal, the Proposer covenants that it will not make any claims or have any right to damages because of any misinterpretation or misunderstanding of the specifications or because of a lack of information.
2. DASNY shall not be obligated for any cost incurred by the Proposer in proposal preparation or in activities related to the review of this RFP or any interview or site visit costs.
3. Other than the contact person identified in **Section 4A** above, or designee(s), prospective Proposers shall not approach DASNY employees during the period of this RFP process about any matters related to this RFP or any proposals submitted pursuant thereto.

C. DASNY's Rights and Prerogatives

DASNY reserves the right to exercise the following prerogatives:

- To accept or reject any or all proposals and amend, modify or withdraw this RFP.
- To correct any arithmetic errors in the proposals.
- To change the proposal's due date upon appropriate notification to all prospective Proposers.
- To accept or reject any of the Proposer's employees assigned to provide services on this project and to require their replacement at any time.
- To waive or modify any irregularities in proposals received after prior notification to the Proposer. This will in no way modify the RFP documents or excuse the Proposer from full compliance with its requirements.
- To consider modifications to proposals at any time before the award is made, if such action is in the best interest of DASNY.
- To interview Proposers and conduct onsite visits prior to selection.
- To reject any proposal containing false or misleading statements or that provides references that do not support an attribute or condition claimed by the Proposer.
- To negotiate the terms of the proposal with the selected proposer prior to commencing services. If negotiations cannot be concluded successfully with any selected proposer(s), DASNY may negotiate with other Proposers.

D. Contractual Requirements

1. Contract
 - a. By submitting a proposal, the successful proposer agrees to reference the RFP as part of the resulting contract.

- b. DASNY may award a contract for any or all parts of a proposal and may negotiate terms and conditions consistent with the RFP. DASNY's sample contract is an attachment to this RFP. DASNY reserves the right to modify the terms of such sample contract and the terms of such sample contract may differ from the final contract.
- c. Procurement selection and award for services is subject to negotiation and approval of terms and conditions.
- d. Any agreement may be terminated by DASNY upon 30 days' written notice for any reason, or immediately for cause. In the event of such termination, the successful proposer will be entitled to reasonable compensation for acceptable services performed through the date of termination.

2. Modification of Contract

- a. Any modification to the final contract signed between the successful proposer and DASNY will require the mutual consent of the successful proposer and DASNY.
- b. Any contract or amendments thereto will be considered effective only after approval by the appropriate DASNY authorities.

3. Interpretation

The contract shall be construed and interpreted in accordance with the laws of New York State. New York State shall be the forum for disputes.

4. Public Announcements

Upon selection of the successful proposer and contract execution, public announcements or news releases pertaining to the contract shall not be made without prior written consent of DASNY.

E. Negotiation

After completion of the selection process, DASNY will commence finalization of the scope of services and cost negotiations with the selected proposer(s).

F. Notification

Upon completion of the negotiation process, DASNY will notify all Proposers of its decision. Notification will be sent to the primary contact only. Shortly after notification the selected firm(s) will be posted on DASNY's website

Section 8. Vendor Integrity

As a public entity, DASNY may only contract with entities that are determined to be responsive and responsible and said entities are required to maintain responsibility throughout the term of the services being provided. Proposers shall submit a Vendor Responsibility Questionnaire ("VRQ") which is designed to provide information to assess a proposed vendor's responsibility to conduct business in New York State. All VRQs shall be reviewed in accordance with applicable law, policy, rules, regulations, and guidelines, including without limitation Executive Order Nos. 125, 170.1 and 192;

Vendors must file the VRQ online via the New York State VendRep System (the "System"). To enroll in and use the System, see the System Instructions at <https://www.osc.state.ny.us/state-vendors/vendrep/vendrep-system> or go directly to the

VendRep System online at <https://www.osc.state.ny.us>. **Proposers must provide their New York State Vendor Identification Number when enrolling.** To request assignment of a Vendor ID or for System assistance, contact the Office of the State Comptroller's ("OSC") Help Desk at 866-370-4672 or 518- 408-4672 or by email at ciohelpdesk@osc.state.ny.us.

Section 9. Term of Engagement

Among the proposals received, DASNY intends to select one firm to provide system services as identified in this RFP. The firm selected by the Evaluation Committee to be engaged by DASNY will result in a contract and may need to be approved by the DASNY Board.

The engagement term will run for a five-year period with renewal options. DASNY may exercise its options to extend the term at management's discretion.

(This section intentionally left blank)

Section 10. Items to be Completed and Returned

Each Proposer should submit their proposal in the order and sections identified below.

- A – System, Cyber Security & Hosting Requirements**
- B – Preferred System Requirements**
- C – Product Requirements**
- D – Content of Statement of Proposal (SOP)**
- E – Business Resiliency/Business Continuity**
- F – Certification Concerning Independent Proposal**
- G – Certification Regarding Audit**
- H – Financial Viability Assessment Form**
- I – Omnibus Certification**
- J – NYS Vendor Responsibility Questionnaire For-Profit Business Entity (Non-Construction)**
- K – Certification Regarding Joint Commission on Public Ethics**
- L – Diversity Questionnaire**
- M- W-9 Form**

A. System, Cyber Security & Hosting Requirements

The functionality defined below defines the technical needs for the system. The intent of this strategy is to minimize vendor costs, expedite implementation, and ensure that DASNY will be able to remain on the application upgrade path offered by the vendor. In order to be considered, vendors responding to the RFP must indicate in the table provided below, whether the desired technical features are:

- Standard features of the solution
- Features that are available for configuration
- Customized features that require additional development to meet DASNY's need
- Features that are available for an add-on fee
- Does not meet the requirement

1. System Requirements

#	Requirements	Vendor Response	Comments
		<ul style="list-style-type: none"> • Standard • Configuration • Custom • Add-on • Does not meet 	
S1	Provides all options supported for hosting and licensing the product, including Software as a Service, Software as a Product hosted at the vendor site, and Software as a Product (without the hosting service). Provides hosting service details (if offered by the vendor).		
S2	Accommodates a minimum of 40 users		
S3	Available for customer/staff usage 24 hours a day, 7 days a week.		
S4	Customer support: business hours (8:00am to 5:00pm ET) required; emergencies off-hours support (including disaster recovery) required.		
S5	Web application compatible with Chrome, Internet Explorer and Edge, and does not require code installation on workstations.		
S6	Ad hoc reporting and user-defined dashboard capabilities.		
S7	Provides customizable business rules.		

#	Requirements	Vendor Response	Comments
S8	Redundancy should be provided to minimize planned and unplanned downtime.	<ul style="list-style-type: none"> • Standard • Configuration • Custom • Add-on • Does not meet 	
S9	Controls need to be in place for business continuity and data loss prevention.		
S10	Business continuity plan should be tested and updated once a year.		
S11	<p>API interface is required to build interfaces with other applications.</p> <p>The API interface including custom interface development will be used to integrate with JD Edwards World Financial system.</p>		
S12	<p>Ability to run scheduled batch jobs to push/pull data to/from other systems. Capability to extract data from the system in CSV (comma separated value) or XML format.</p> <p>Integration between systems will be scheduled as batch jobs.</p>		
S13	Capability to build real-time interface between systems using the API interface is desired.		
S14	Ability to migrate data using common formats.		
S15	Maintains detailed activity logs to keep an audit trail of changes to the data. Offers capability for System Administrator to review audit logs and system access (login) history.		
S16	If the systems in scope for the services offered represent a composite of two or more separate applications there is seamlessly linkages between the systems (e.g. a user is not required to sign in multiple times or is required to leave one		

#	Requirements	Vendor Response	Comments
		<ul style="list-style-type: none"> • Standard • Configuration • Custom • Add-on • Does not meet 	
	module / application to move to another and back again to process a transaction).		

2. Cyber Security Requirements

#	Requirements	Vendor Response	Comments
		<ul style="list-style-type: none"> • Standard • Configuration • Custom • Add-on • Does not meet 	
C1	Application supports role-based security.		
C2	Application allows DASNY administrative staff to maintain and track user access, password maintenance, and user capabilities.		
C3	Vendor restricts access to DASNY's confidential information to its employees by enforcing the principles of least privilege, and separation of duties. Includes capabilities to create and manage access levels based upon role and user type.		
C4	Vendor provides a strong password policy that includes a combination of letters, numbers and symbols (@, #, \$, %, etc.) if allowed.		
C5	Vendor has a vulnerability management program in place to detect and remediate vulnerabilities within the environment.		
C6	Vendor routinely reviews software patch information and applies all security patches based on software vendors recommendations.		

#	Requirements	Vendor Response	Comments
C7	Vendor provides SSAE19 SOC1 and SOC2 reports for the services provided.	<ul style="list-style-type: none"> • Standard • Configuration • Custom • Add-on • Does not meet 	
C8	Vendor grants Customer with the right to audit the processes and functions that support the contracted services and systems hosting Customer data.		
C9	System access for Customer and Vendor's employees requires Multi Factor Authentication (MFA) for any access that is available over the internet, if Azure/Office 365 integration is not provided.		
C10	Vendor has processes and procedures to alert customers if a potential security incident arises that may impact customer data within 24 hours of when the activities are detected.		
C11	Security training & awareness – Vendor requires that all employees complete annual security awareness training.		
C12	Vendor maintains due diligence processes as part of assessing third party suppliers (including FinTech firms) that support services in scope for this RFP. The risk assessment process incorporates due diligence processes to assess and monitor service providers controls and systems to detect and protect against unauthorized access to customer data.		
C13	An enterprise, leading-edge anti-virus application must be installed and updated accordingly on all servers which host DASNY's data.		

3. Hosting Requirements (if applicable)

#	Requirements	<u>Vendor Response</u> <ul style="list-style-type: none"> • Standard • Configuration • Custom • Add-on • Does not meet 	Comments
H1	Upload and download of data into the application only permits secure mechanism to transfer data (applicable when the software is SaaS or hosted) such as using an encrypted and secured connection.		
H2	Vendor maintains 24/7 monitoring of network/access to the systems holding customer data to be able to respond to security events, intrusion attempts, and/or issues on the infrastructure that host DASNY's data.		
H3	Vendor has physical controls in place to protect DASNY's systems, data, the data center and validate the physical controls on an ongoing basis. Access to those assets must be restricted to authorized personnel only, and they must be secured and properly monitored to prevent damage and/or theft.		
H4	Data sanitation and secure disposal of media which contains DASNY information will need to follow the NYS Sanitation/Secure Disposal Standard NYS-S13-003.		

B. Preferred System and Services Requirements

The following **system and services** requirements are preferred but are not mandatory.

1. Available periodic (annual minimum) system upgrades ensuring product continuity for a 10-year period.
2. Offers integration via JSON/XML REST API or provides a means for direct database connection.
3. Demonstrates past integration with Microsoft Power Platform/Dynamics 365 if it is applicable.
4. Provides Single Sign-On (SSO) using an industry standard such as AD, ADFS, SAML.
5. Provides data field level security.
6. Provides password reset self-service.
7. Provides a strategy for implementing a document retention schedule.
8. Provides smart rules functionality to allow DASNY's system administrator and key users to add and customize smart rules without programming customization required.
9. Integration with an electronic signature product (like DocuSign®).
10. Integration with SharePoint Online.
11. Provides mobile interface.
12. Available online user community discussion platform and periodic (annual minimum) user conferences.
13. Provides training videos, presentations, instructor led classes, remote sharing tools and hands-on walkthrough guides.
14. Provide a Cash Management module as a standard or ancillary service that would complement the Investment system.
15. Provide an Accounting module as a standard or ancillary service.

C. Product Requirements

Complete the Product Matrix Capabilities Questionnaire included in this RFP as an attachment.



Product Matrix
Capabilities.xlsx

In the Response column, select one of the following:

- Standard – the feature is immediately available upon provisioning.
- Configuration – This feature is configured using a user interface and is typically protected during upgrades through backwards compatibility.
- Custom – This feature is only available through customization such as programming or scripting. Care must be taken to preserve customizations during upgrades. In the comments, describe the customization effort.
- Add-on, in the comments, provide add-on product information.

- Does not meet.

In the Comments column, optional information may be provided that the Proposer deems necessary regarding how the proposed solution meets the requirement. For **Custom or Add-on** selections in the Response column, comments are **required**.

D. Content of Statement of Proposal (SOP)

The following is a list of required information that must be provided by the Proposer. Provide your response in the same order as numbered below. Your response must contain sufficient information to assure DASNY of its accuracy.

1. Transmittal Letter including the following items:

- a. The contact name, title, telephone number, fax number and email address of the individual for the Proposer who will be DASNY's primary contact concerning this RFP.
- b. A statement to the effect that the Proposer is willing to complete the Project scope of work as identified in **Section 2A**, above, and will abide by the terms of the RFP, including all attachments.
- c. The Transmittal Letter must be signed by the individual(s) authorized to contractually bind the Proposer. Indicate the title or position that the signer holds for the Proposer. DASNY reserves the right to reject a SOP that contains an unsigned Transmittal Letter.

2. Company Information including the following information:

- a. Company History.
- b. Number of Employees.
- c. Financial Viability Assessment form

3. References

- a. Provide project summaries along with a minimum of three (3) references of similar implementations with organizations (preferably governmental clients) comparable to DASNY.
- b. Include references that can be contacted by DASNY to learn more about the Vendor's system and meet to view the Vendor's system in operation.
- c. Provide company name, contact name, phone number and email for each reference contact.
- d. Provide a brief description of the systems/modules utilized by the reference and the number of users/licenses.

4. Staffing Plan that includes the following information:

- a. The names and titles of project leads and/or subcontractors to be assigned to the Project.
- b. The number of years each employee has worked with the Proposer's firm, if applicable.
- c. The current resume(s) and listing of recent similar projects completed by the proposed employees.

5. Software that includes the following information:

- a. Details on the product's capabilities that meet the requirements listed in **Section 10A**, System, Cyber Security & Hosting Requirements.
- b. Software description and features.
- c. Road Map that describes future enhancements and commitment to the current solution.

6. Pricing Structure

Complete the **Pricing Template** for Subscription and On Premise (if applicable) included in this RFP as **Attachment G**.

DASNY welcomes implementation pricing proposal to include DASNY's internal resources to assist and deliver the implementation successfully. Please detail the required DASNY internal resources types and skill sets.

7. Data Integration that includes the following information:

- a. Details on the ability to meet the integration requirements listed in **Section 10A** Integration of the System Requirements with an explanation of how these requirements will be met.
- b. List third party applications that have pre-built integrations.
- c. Provide the product- API library for building interfaces with other systems.

8. Data Migration

- a. Details on the ability to meet the migration requirements listed in **Section 10A**, Migration of the System Requirements with an explanation of how these requirements will be met.
- b. Propose options for archiving individual investment line numbers that have reached maturity or have been sold.

9. System Security

Provide details on the ability to meet the security requirements listed in **Section 10A.2**, Security of the System Requirements with an explanation of how these requirements will be met.

10. Hosting

Provide the options for the system and data hosting either by the software provider or its third-party service provider.

11. Preferred Requirements

As applicable, describe how the preferred requirements listed in **Section 10B**, Preferred Requirements will be met.

12. Implementation and Post-Implementation Approach

Provide a proposed project implementation approach, including a typical project schedule. The plan should address all key phases including, but not limited to, project planning, installation, configuration, data migration, testing, rollout, training, and support.

Provide a list of DASNY internal resources types and skill sets to assist the implementation, see **Section 10D, item no.6-** Pricing Structure.

Provide a customer care plan for Post-Implementation.

13. Training and Documentation

Describe your proposed training program for application administrators and users along with documentation that is included (i.e., training manuals, technical manuals, user guides, data element dictionary, and context-sensitive online help text with customizable screens).

14. Acceptance Testing

Describe your methodology for acceptance testing and the criteria to be used for final system acceptance (after installation, testing and “go-live”).

15. Support Methodology that includes the following information:

- a. Support methods (options available to report, track, and troubleshoot incidents)
- b. Service Level Agreements
- c. Support Hours

16. Additional Information

Proposers may use this section to include additional information about their products and services not covered in other sections of this RFP. Example may include:

- a. Published case studies
- b. Conference information
- c. Newsletters
- d. Documentation

17. Insurance

Provide a statement indicating your firm can obtain the required insurances as listed in Section 2D.1-5.

18. Freedom of Information Law and Public Disclosure

Should you feel your firm’s SOP contains any such trade secrets, other confidential or proprietary information or is otherwise exempt from disclosure pursuant to FOIL, you must submit a request to exclude such information from disclosure. Such request must detail the information that should be exempt and the reason such information should be exempt. DASNY will not honor any attempt, by a firm, to omit its entire proposal from disclosure.

19. Questions, Comments and Objections to Contract

Included in this RFP as **Attachment C** is the draft form of the Contract DASNY proposes be executed between the selected Proposer and DASNY (the “Contract”). As part of its SOP, each Proposer must identify all questions, comments, requests, exceptions, or objections (collectively, “Objections”), if any, that it may have to the Contract for DASNY’s review and consideration. Any such Objections must be set forth in writing and should be as detailed and as possible. Any Objections raised by a Proposer must be commercially reasonable. Any Objections must include proposed alternative wording. DASNY may, at any time during the evaluation period and in its sole and absolute discretion, modify, amend or change the terms and provisions of the Contract by issuance of an addendum.

E. BUSINESS RESILLIENCY/BUSINESS CONTINUITY

1. Is a formal disaster recovery plan in place in the event of a systems failure or other disaster at the Proposer's primary processing site? Please describe.
2. Describe the Proposer's provisions for backup and continuation of services in a local or regional disaster situation. Describe the Proposer's disaster recovery services if the in-scope systems and any or all its components cannot operate from its facilities temporarily.
3. Does the business continuity plan include recovery strategy, loss of critical personnel, and documented recovery plans covering all areas of operations necessary to delivering services detailed within the proposal?
4. What, if any, support does the Proposer intend to offer to entities, such as DASNY in a disaster situation to permit DASNY to maintain their system functions?
5. Does the Proposer's recovery strategy provide for recovery after short- and long-term disruptions in facilities, environmental support, public utilities, workforce availability, and data processing capabilities? Please describe.
6. What disaster recovery / business continuity recovery objectives (RTO & RPO) apply for the services and systems offered within the proposal?
7. When were the disaster recovery and business continuity plan(s) last tested? Please provide summary information regarding the scope and results of the most recent testing activities completed.
8. Will the Proposer be able to provide equal level of services to DASNY (e.g., no degradation of response time, all contracted services are available, etc.) in situations where the Proposer needs to activate the Proposer's disaster recovery or business continuity plans?
9. Will the Proposer, if requested by DASNY, participate in disaster recovery or business continuity recovery testing?

F. Certification Concerning Independent Proposal

hereby certifies as follows in connection with our Proposal for the position of:

-
- A. Except as described below, we have prepared our Proposal independently, without consultation, collusion, communication, or agreement as to any matter with any other proposer to the RFP or with any competitor.
 - B. Except as described below, we have not disclosed our Proposal and, unless otherwise required by law, will not disclose our Proposal prior to award, either directly or indirectly, to any other Firm or to any competitor.
 - C. Except as described below, we have made no attempt and will make no attempt to induce any other person or Firm to submit or not to submit a proposal.
 - D. Except as described below, there are no fee splitting arrangements, finder's fees, consulting arrangements or any other financial arrangement in connection with this proposal or the subsequent transactions contemplated by this proposal.

Exceptions if any:

Signature of Authorized Officer

Date

Title

G. CERTIFICATION REGARDING AUDIT

Certification

The undersigned agrees to provide DASNY with pre- and post-audit access to documents, personnel and other information necessary to conduct audits on request during the term of the Agreement and for six years thereafter.

By _____
(Signature)

Title _____

Firm's Legal Name _____

Date _____

H. FINANCIAL VIABILITY ASSESSMENT FORM

The Financial Viability Assessment form includes key financial information from fiscal 2017 through fiscal 2019. Please fill in all highlighted cells and submit the form with your proposal.



Financial Viability
Form 2017-2019.xlsx

I. DORMITORY AUTHORITY OF THE STATE OF NEW YORK OMBIBUS PROCUREMENT CERTIFICATION

I, the undersigned, an authorized signatory of _____, (the “Firm”) hereby represent and certify to the Dormitory Authority of the State of New York (“DASNY”) under penalty of perjury as follows with respect to certain actions taken and to be taken in connection with the Firm’s submission of a [bid/proposal] and the execution of any resulting contract (the “Contract”) in response to DASNY’s [notice to bidders/request for proposal] for Project # [TBD] as follows:

A. Non-Collusive Bidding Certification

1. The prices in the [bid/proposal], have been arrived at independently without collusion, consultation, communication or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other [bidder/proposer] or with any competitor;
2. Unless otherwise required by law, the prices which have been quoted in the [bid/proposal] have not been knowingly disclosed by the [bidder/proposer] and will not knowingly be disclosed by the [bidder/proposer] prior to opening, directly or indirectly, to any other [bidder/proposer] or to any competitor; and
3. No attempt has been made or will be made by the [bidder/proposer] to induce any other person, partnership, or corporation to submit or not to submit a [bid/proposal] for the purpose of restricting competition.

B. Non-Segregated Facilities

The Firm does not, nor shall not, maintain or provide for the employees of such Firm any segregated facilities at any establishments, and that the Firm does not, nor shall not, permit the employees of such Firm to perform the services of such employees at any location under the control of such Firm where segregated facilities are maintained. The Firm agrees that a breach of this certification is a violation of the nondiscrimination clauses of the Contract.

C. Non-discrimination in Employment in Northern Ireland

The Firm stipulates that it, and any individual or legal entity in which the Firm holds a ten percent (10%) or greater ownership interest, and any such entity that holds such an interest in the Firm, either:

1. Has no business operations in Northern Ireland; or
2. Shall take all lawful steps in good faith to conduct any business operations it has or in which it has such an interest in Northern Ireland in accordance with the MacBride Fair Employment Principles as set forth in Chapter 807 of the Laws of 1992 and shall permit any independent monitoring of its compliance with said Principles.

D. Federal Equal Employment Opportunity Act

The Firm is compliant with the Federal Equal Employment Opportunity Act of 1972 (P.L. 92-261), as amended.

E. Commitment to Opportunity Programs

The Firm acknowledges and agrees to be bound in accordance with NYS Executive Law Article 15-A, and in conformance with regulations promulgated by the Division of Minority and Women's Business Development of the NYS Department of Economic Development. A list of NYS certified M/WBEs may be obtained from the ESDC directory of certified businesses located at www.nylovesmwbe.ny.gov.

F. Commitment to Service-Disabled Veteran-Owned Business

The Firm acknowledges and agrees to be bound in accordance with NYS Executive Law Article 17-B, and in conformance with applicable regulations. A list of NYS certified SDVOB may be obtained from the NYS Office of General Services Division of Services-Disabled Veterans' Business Development located at <https://ogs.ny.gov/veterans>.

G. Transfer of Offset Credits

The Firm acknowledges notice that DASNY may assign or otherwise transfer offset credits created by the Contract to third parties located in New York State.

H. 2005 Procurement Lobbying Law

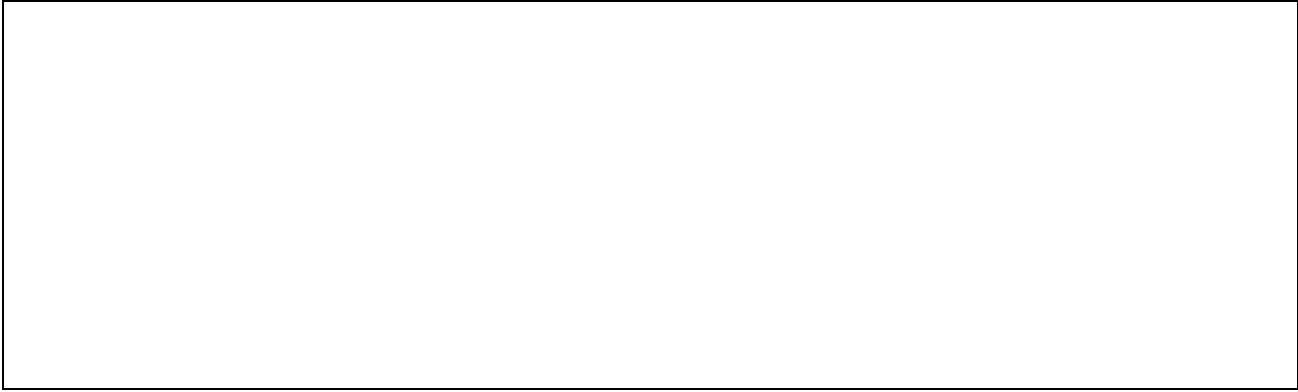
1. The Firm understands and has to date and agrees hereinafter to comply with DASNY's procedures relative to permissible contacts for this procurement as required by State Finance Law § 139-j (3) and § 139-k (6) (b);

2. No "governmental entity," as defined in State Finance Law § 139-j and § 139-k has made a finding in the last four years that the Firm was not responsible;

a. If yes, please note the governmental entity, the date of the finding and the basis of the finding regarding each finding of non-responsibility. Attach additional pages, if necessary.

3. No "governmental entity" as defined in State Finance Law § 139-j and § 139-k has terminated or withheld a procurement contract with the Firm due to the intentional provision of false or incomplete information required by such laws and/or the failure to comply with the requirements of State Finance Law § 139-k(3) relating to permissible contacts.

a. If yes, please note the governmental entity, the date of the termination or withholding of contract and the basis of termination or withholding of contract. Attach additional pages, if necessary.



I. Code of Business Ethics

The Firm acknowledges notice of and has read DASNY's Code of Business Ethics attached as **Section 10K** hereto and acknowledges that the Firm's failure to comply shall justify termination of the Contract by DASNY and may result in the rejection of the Firm's [bid/proposal] for future work with DASNY.

J. Iran Divestment

That to the best of its knowledge and belief, the Firm and each person and each person signing on behalf of any other party, that each person is not on the list created pursuant to paragraph (b) of subdivision 3 of section 165-a of the State Finance Law.

[Remainder of this page intentionally left blank]

K. Certification

The Firm acknowledges that intentional submission of false or misleading information may constitute a felony under Penal Law Section 210.40 or a misdemeanor under Penal Law Section 210.35 or Section 210.45, and may also be punishable by a fine of up to \$10,000 or imprisonment of up to five years under 18 U.S.C. Section 1001 and hereby represents that all information contained here provided to DASNY is complete, true and accurate.

By: _____

Name: _____

Title: _____

Date: _____

J. NYS Vendor Responsibility Questionnaire

COMPLETION & CERTIFICATION

The person(s) completing the questionnaire must be knowledgeable about the vendor's business and operations. An owner or officer must certify the questionnaire and the signature must be notarized.

NEW YORK STATE VENDOR IDENTIFICATION NUMBER (VENDOR ID)

The Vendor ID is a ten-digit identifier issued by New York State when the vendor is registered on the Statewide Vendor File. This number must now be included on the questionnaire. If the business entity has not obtained a Vendor ID, contact the OSC Help Desk at ciohelpdesk@osc.state.ny.us or call 866-370-4672.

DEFINITIONS

All underlined terms are defined in the "New York State Vendor Responsibility Definitions List," found at www.osc.state.ny.us/vendrep/documents/questionnaire/definitions.pdf. These terms may not have their ordinary, common or traditional meanings. Each vendor is strongly encouraged to read the respective definitions for any and all underlined terms. By submitting this questionnaire, the vendor agrees to be bound by the terms as defined in the "New York State Vendor Responsibility Definitions List" existing at the time of certification.

RESPONSES

Every question must be answered. Each response must provide all relevant information which can be obtained within the limits of the law. However, information regarding a determination or finding made in error which was subsequently corrected is not required. Individuals and Sole Proprietors may use a Social Security Number but are encouraged to obtain and use a federal Employer Identification Number (EIN).

REPORTING ENTITY

Each vendor must indicate if the questionnaire is filed on behalf of the entire Legal Business Entity or an Organizational Unit within or operating under the authority of the Legal Business Entity and having the same EIN. Generally, the Organizational Unit option may be appropriate for a vendor that meets the definition of "Reporting Entity" but due to the size and complexity of the Legal Business Entity, is best able to provide the required information for the Organizational Unit, while providing more limited information for other parts of the Legal Business Entity and Associated Entities.

ASSOCIATED ENTITY

An Associated Entity is one that owns or controls the Reporting Entity or any entity owned or controlled by the Reporting Entity. However, the term Associated Entity does **not** include "sibling organizations" (i.e., entities owned or controlled by a parent company that owns or controls the Reporting Entity), unless such sibling entity has a direct relationship with or impact on the Reporting Entity.

STRUCTURE OF THE QUESTIONNAIRE

The questionnaire is organized into eleven sections. Section I is to be completed for the Legal Business Entity. Section II requires the vendor to specify the Reporting Entity for the questionnaire. Section III refers to the individuals of the Reporting Entity, while Sections IV-VIII require information about the Reporting Entity. Section IX pertains to any Associated Entities, with one question about their Officials/Owners. Section X relates to disclosure under the Freedom of Information Law (FOIL). Section XI requires an authorized contact for the questionnaire information.

K. Certification Regarding New York State Joint Commission on Public Ethics

As of December 12, 2011, the New York State Joint Commission of on Public Integrity Ethics has been replaced with the Joint Commission on Public Ethics. Has your Firm, or any of the members discussed in your proposal, been the subject of any investigation or disciplinary action by the New York State Ethics Commission, the Temporary State Commission on Lobbying, the Commission on Public Integrity or the Joint Commission of Public Ethics?

Yes [] No []

If yes, please describe briefly how any matter was resolved or whether it remains unresolved.

Certification

The undersigned personally does hereby state and certify to the Dormitory Authority that the information given above is true, accurate and complete.

By _____
(Signature)

Title _____

Firm's Legal Name _____

Date _____

L. Diversity Questionnaire

(I) Company Demographic Profile

Job Categories	Number of Employees (report employees in only one category)															Overall Totals
	Race/Ethnicity															
	Hispanic or Latino		Non-Hispanic or Latino													
	Male	Female	Male						Female							
Male	Female	White	Black or African-American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	White	Black or African-American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races			
Executive/ Senior Level Officials and Managers																
First / Mid-Level Officials and Managers																
Professionals																
Technicians																
Sales Workers																
Administrative Support Workers																
Craft Workers																
Operatives																
Laborers and Helpers																
Service Workers																
Total																

(NOTE: Proposers can also attach Employer Information Reports EEO-1 for the last 3 years)

(II) MWBE Certification Status

1. Is your company certified as a Minority and/or Woman-owned business enterprise with New York State Empire State Development? Yes or No
If yes, provide a copy of your certification.
2. If no, list all other jurisdictions and/or certifying bodies that have deemed your company Minority and/or Woman-owned. Also, provide a copy of each certification.
3. If your company has applied for, but has not, as of the issuance of the RFP, been certified as a Minority or Women-owned business enterprise by New York State Empire State Development, you must submit proof of a pending application, including the filing date.

(III) Demographic Profile of Staff Assigned to this Engagement

Job Categories	Number of Employees (report employees in only one category)															
	Race/Ethnicity															
	Non-Hispanic or Latino															
	Hispanic or Latino		Male							Female						Overall Totals
	Male	Female	White	Black or African-American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	White	Black or African-American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races		
Executive/ Senior Level Officials and Managers																
First / Mid-Level Officials and Managers																
Professionals																
Technicians																
Sales Workers																
Administrative Support Workers																
Craft Workers																
Operatives																
Laborers and Helpers																
Service Workers																
Total																

(IV) EEO Firm Activity

1. Is your company’s CEO or Chief Procurement Officer (“CPO”) committed to and engaged in the process of diversity business development? Yes or No
If yes, attach a signed statement from your CEO or CPO.
2. Provide a copy of your company’s equal opportunity and affirmative action policy.

M. W-9 Form

Included in this RFP as Attachment D.

Attachments

- A. Investment Report- GASB 40- examples of specific GASB reports that are required by DASNY's Investment system in order to run for audit purposes
- B. Investment Report- GASB 72- examples of specific GASB reports that are required by DASNY's Investment system in order to run for audit purposes
- C. Sample Contract
- D. W-9 Form
- E. Product Matrix Capabilities Questionnaire
- F. Financial Viability Assessment form
- G. Pricing Template

