

Insurance Compliance and Monitoring #1509
Questions and Answers

1. How often does DASNY update the Insurance Requirement section of their Vendor/Consultant Contract Terms & Conditions? **It depends on the project, but generally the standard requirements are only updated once every few years.**
2. Will DASNY be looking for Insurance Consultant to review the insurance requirement templates for its Vendors/Consultants? **No**
3. Is the Consultant required to look at each Vendor contract's insurance requirements? Or is there be standard insurance requirements? **There will be standard insurance requirements for each of the contract areas/types. There will be 15-20 different sets of standard requirements.**
4. Would DASNY hold the contract with Insurance Monitoring platform or would it prefer Insurance Consultant hold contract? **DASNY intends to contract with an entity that can offer both compliance review and a platform under one contract.**
5. Does portal need to interface with any other DASNY platform – e.g. Accounting? **This is not a mandatory requirement. However, platforms that have the ability to interface with other systems may be scored higher.**
6. Are the ISO Additional Insured endorsements included in the RFP specifically required within your contracts? **Yes**
7. Does DASNY require Primary and Non-Contributory and Waiver of Subrogation endorsements be collected and reviewed? Or is certificate evidence considered sufficient to meet requirements? **Endorsements should be collected. If the endorsements are manuscript, they should be reviewed.**
8. Does DASNY differentiate its contract insurance requirements (e.g. limits/coverages) based on the vendor type? e.g. GC, Professional, Real Property, etc. **Yes**
 - a. If so, how many "tiers"? **The number of tiers reviewed depends on the value of the subcontracts.**
 - b. Will DASNY provide a sample of each contract for comparison? **Yes**
9. What does DASNY's "Waiver Process" look like? **Limited, case-by-case basis.**
10. How many DASNY team members are involved in the "Waiver Process"? **2-3**
11. Will DASNY be looking for recommendations from Insurance Consultant on Waivers? **No, these are internal business decisions.**
12. Who will be requesting the insurance documentation from Vendors/Consultants? **The vendors/consultants will receive a pre-award notification directing them to submit insurance documentation to the Insurance Review & Compliance Monitoring vendor.**
13. DASNY or Insurance Consultant? **See above**
14. What percentage of Vendors/Consultants use email to submit insurance documentation? **75%** Fax? Traditional mail? **25%**
15. Will the awarded Consultant have direct access to the Vendors' Brokers/Agents or is determined on a

case by case basis? **Yes**

16. What are the Consultant's insurance requirements? Requirements and sample contract were not attached. **\$2 million CGL, Prof. Liab., WC and DBL**
17. Who must comply with the insurance requirements – both the Consultant and monitoring software vendor? **Again, DASNY's current intention is to award to a firm that provides both the platform and the staffing for compliance review.**
18. What are the security requirements that should be met? Requirements were not attached. **See Appendix A.**
19. Who must comply with the security requirements – both the Consultant and monitoring software vendor? **See appendix A**
20. What types of reports does DASNY require (i.e. Compliance Status, Upcoming Expirations, Active/Inactive Vendors, etc.)? **All of the above**
21. How often does DASNY want to receive reports? **DASNY would like to have the ability to generate reports on an as needed basis.**
22. Will DASNY run reports themselves or will selected Consultant provide on a predetermined frequency? **See above.**
24. The RFP mentions Construction, Professional Services, Real Property, Purchasing, Internal Operating Contractors. What is the estimated breakdown of the 1500 Vendors, by Vendor Type? **The breakdown is constantly changing.**
25. What Vendor data can/will be supplied by the current monitoring software vendor for the initial data transfer (i.e. Vendor DBA, Contacts Information, Addresses, Current Compliance Status, Documents Currently on File, etc.)? **Vendor & Contract information, Current Submittals and renewal information**
26. What format(s) can/will the current monitoring software vendor be transferred in? **CSV**
27. Is it mandatory for bidders to be registered as a NYC corporation? **If they are not registered in NY, DASNY has the discretion to accept a Certificate of Good Standing from the home state of the corporation.**

Appendix A

Insurance review outsourcing Data security

The vendor must protect DASNY information from security threats, whether internal or external, deliberate, or accidental. Breaches of information security must be reported to DASNY. The vendor must maintain a risk management process that reviews and addresses risks.

Confidentiality

Confidentiality of DASNY information must be assured through physical and logical system security controls to prevent unauthorized access. Vendor must restrict access to DASNY's confidential information to its employees by enforcing the principles of least privilege, and separation of duties. The vendor must provide a strong password policy and a multifactor authentication feature (via email) to add an extra layer of protection to prevent that unauthorized parties access DASNY's sensitive information.

Application access

Restrict access to the application based on DASNY's IP address (IP filtering). This will allow access to the application only to DASNY employees. Connection to the application must be encrypted and secure by using Hypertext Transfer Protocol Secure (HTTPS).

Audit reviews

We should have the ability to perform audit reviews of access logs. We should be able to check who access the application and the data.

Login activity such as successful login attempts, failed login attempts, successful password resets, failed password reset attempts, and account lockout status must be captured along with the IP address associated with the aforementioned activities.

Data in transit

Upload and download of data must be performed by using an encrypted and secured connection. Appropriate encryption methods for data in transit include, but are not limited to, Transport Layer Security (TLS) 1.2 or later, Secure Shell (SSH), SFTP.

Availability

Availability of assets must be provided and business continuity plans must be produced, maintained, and tested. To prevent loss of availability of DASNY resources, measures must be taken to backup data, applications, and server configurations.

The vendor must maintain 24/7 monitoring to be able to respond to security events, intrusion attempts, and/or issues on the infrastructure that host DASNY data.

Physical security

The vendor must have physical controls in place to protect DASNY's systems, data, and the data center. 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. The vendor must validate the physical controls on an ongoing basis.