



Request for Qualification (RFQ)

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Section 1 – General Information:

1.1 Background

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, and 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. Additionally, as a means to lower borrowing costs and to cost effectively support certain clients’ strategies to diversify their debt portfolios, DASNY enters into interest rate swap agreements at various times. All of the entities for which DASNY provides financing, construction or other services are referred to as clients.

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 \$55.2 billion as of December 31, 2018. In 2018 DASNY issued approximately \$9.1 billion in tax-exempt and taxable bonds. DASNY has also issued \$3.7 billion under its Tax-Exempt Equipment Leasing Program (TELP) since 1995.

1.2 Purpose

DASNY issues this Request for Qualifications (RFQ) seeking a responsive Statement of Qualifications (SOQ) from software vendors who offer Debt Management, Investments, Risk Management and Compliance (for example, authorization limits, collateral monitoring, calculation of market values, alerts when certain criteria are met.), Cash Management, and Accounting modules with agile reporting capability in a secure platform that will include software implementation services, ongoing training and technical support.

DASNY administers a cumulative financing portfolio of approximately 1,500 bond issues containing 2,000 bond series (in many cases, a bond issue has multiple series). These issues include both issues with current outstanding debt as well as those that have been repaid in full. Included in this portfolio are approximately 2,000 debt service schedules with outstanding balances (a bond series could have multiple debt service schedules). Additionally, DASNY manages an investment portfolio of over 7,000 accounts for our clients and a Tax-Exempt Leasing Program (TELP) portfolio of approximately 700 lease records. All portfolios are expected to increase year over year. In addition to financing, investment and TELP portfolios management, DASNY is responsible for reporting to a variety of entities including the New York State Division of the Budget (DOB), Office of State Comptroller (OSC), and Authorities Budget Office (ABO).

A Cloud-based solution can either be Software-as-a-Service (SaaS) or Software-as-a-Product (SaaP) and should accommodate a minimum of 100 users including internal and external users. While a cloud-based solution is preferred, DASNY will consider on-premises alternatives.

DASNY's goals for Debt Issuance, Management and Investments functionality include:

- A system that can manage a minimum of cumulative financing portfolio of **1,500** bond issues containing **2,000** bond series and **2,000** debt service schedules with outstanding balances, an investment portfolio of a minimum of **7,000** accounts and a TELP portfolio of **700** records.
- Team collaboration functionality with the ability to track milestone dates from the initial contact with the borrower through bond issuance, and further functionality following the bond issuance for bond administration and meeting compliance requirements (e.g. IRS reporting, bond covenant tracking).
- Configurable workflows with user-defined business rules, processes and securities. It should allow for an unlimited number of steps, approvals, notifications and concurrent reviews on any single workflow.
- Strong integration capabilities with JD Edwards World (JDE) and third-party solutions;
- Centralization and organization of document management to allow all users to quickly access debt and investment documents associated with a particular bond issuance and/or client.
- Substantial reduction of the DASNY in-house application footprint and manual processes.
- Enhancement of mobility and reporting capabilities.

Specific requirements/services include, but not limited to, the following:

The solution must provide a structure for **navigation, reporting** (standard and ad hoc), **searching and security** that accommodates internal and external users in both the debt and investment environments. External users may include: clients (borrowers), trustees, underwriters and attorneys.

Document management must provide for all financing, investment and Tax-Exempt Equipment Leasing Program (TELP) using a folder structure and metadata.

The solution must provide **workflows** that track responsibilities, job status, and action dates which are easily audited, as well as automating processes to review and approve action items and documents. Application administrators and key users must be granted the ability to create and modify workflows without customized programming. Typical workflow capacities such as configurable forms, serial and parallel routing, action assignment, due dates, and email notifications are expected.

The solution must be able to **Interface with third party applications** through Web Services, API's, ODBC, or others.

The solution must be able to handle a minimum of cumulative financing portfolio of **1,500** bond issues containing **2,000** bond series and **2,000** debt service schedules with outstanding balances, of which may have 30 or more principal maturities.

The solution must be able to **calculate interest** for a variety of debt types (e.g. fixed rate, variable rate, step coupons, capital appreciation bonds, swaps), and do interest projections based on user-specified periods.

The solution must provide a **drilldown and rollup feature** that provides the ability for each bond issue to be grouped based on specific criteria.

The solution must be able to handle an **investment portfolio of a minimum of 7,000 accounts** with the capacity for future growth, generate income projection and inventory market value reports, and provide the necessary reporting to meet GASB 40 (Deposit and Investment Risk) and GASB 72 (Fair Value Measurement) requirements.

The solution must be able to **retain historical data** for bond issues that are fully redeemed and maintain an audit trail that identifies any changes to the amount of principal outstanding for each bond issue.

The solution must be able to track not only the original CUSIP number for each maturity, but also any subsequent CUSIP number issued for that bond or a portion of that bond.

The solution must be able to house a minimum of **700 TELP lease records**, (consisting of off-balance sheet items which track each TELP deal including equipment list, values and financing terms). DASNY's TELP program shares some clients and participants with the bond portfolio.

The solution must be able to **view and report** financing, investment and TELP records by client and other participants such as underwriters and bond counsel.

The solution should be able to **allocate debt for each bond series by resolution** (indenture), program, sub-program, agency, campus, tranche, refunding tranche, building, and project with the ability to reallocate debt.

The solution should have the ability to **produce debt service bills** by pulling the principal and interest directly out of the system.

The solution should allow integration with **digital signature** providers that require a certificate of authority such as a windows digital signature certificate, DocuSign®, or equivalent.

A **mobile interface** should be provided for users to access, review, create, edit, and upload records and files.

The solution should have a **calendar** feature to create and track tasks with a flowing deadline or without a due date, and reminders.

1.3 Additional Information

The selected Vendor will be required to migrate a minimum of cumulative financing portfolio of **1,500** bond issues containing **2,000** bond series and **2,000** debt service schedules with outstanding balances, a minimum of 7,000 investment accounts and 700 TELP records with associated documents from the current systems to the new Debt Management and Investments 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.

Current Systems:

No.	Application	Functionality
1	SunGard- APS2- Investment	Primarily use for Investment Portfolio Management including purchase and sales of various fixed income securities, standard, regulatory and custom reporting, GL interface, trade import and securities library.
2	SunGard- APS2- Debt	Used for tracking of fixed rate debt that can be sorted by series, resolution, program, sub-program. Calculates accrued interest through a specific date, projects principal and interest for a specified time period, produces amortization schedules, and tracks CUSIPs relevant to each principal maturity.
3	SunGard- APS2-Collateral	Houses off-balance sheet items including letter of credit and surety bonds.
4	Access Database	Used for certain debt service billings.
5	Access Database	Project expenditures out of JDE are downloaded into the database in order to allocate bond proceeds expenditures by bond series.
6	Access Database	Tracks the population of letters of credit, liquidity facilities, standby bond purchase agreements as well as the expiration dates, holding bank, and other relevant data .
7	Muni-ease	Used to track Mental Health debt by series, agency, tranche, refunding tranche, institution, campus, project number, building number, identifies if the building qualifies for issuance of tax exempt bonds, and tracks private use by bond series. On an annual basis, the expenditure detail is downloaded from JDE into Excel. An Access Database, Excel and prior year debt data downloaded from Mun-Ease are used to update the debt data for current year expenditures. Tracks the eligibility of each building to refund debt with tax-exempt bonds.
8	JD Edwards World	Maintains bond expenditure information.
9	SQL Database- Public Finance	Tracks bond pre-issuance and TELP data. The database interfaces with Access which is used to generate various ad-hoc reports and Crystal Reports which is used to generate various formal reports.
10	Excel	Main tool to track all debt information

External/ Internal Links:

External/ Internal	No.	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

1.4 Key Events and Dates

Responses to the RFQ are due in accordance with the schedule provided below. This schedule is firm unless DASNY changes the dates in an Addendum in writing that will be posted to DASNY’s website at www.dasny.org. Respondents are solely responsible for obtaining all such changes to the submission schedule or other supplemental instructions and any interpretations and supplemental instructions that may have been issued, as well as acknowledging receipt of any interpretations and supplemental instructions that are issued.

<u>Event</u>	<u>Date</u>
Issuance of RFQ	6/14/2019
Informational Meeting (*)	6/27/2019
Deadline for RFQ Questions	7/12/2019 (5:00 p.m.)
Post Responses to RFQ Questions	7/26/2019
SOQ Due Date	8/9/2019 (5:00 p.m.)
Selection of Shortlisted Teams (not earlier than)	8/30/2019
RFP issued to Shortlisted Teams (anticipated)	9/27/2019
RFP Proposals Due (anticipated)	10/18/2019

* An informational meeting will be held via WebEx at 9:00am on Thursday, June 27, 2019. Vendors are encouraged to participate the meeting by sending the request to Nicole White, RFP Coordinator at email: RFPCoordinator@dasny.org.

The informational meeting will include an overview of the functionality of the existing Public Finance SQL Database, an example of a bond deal, and DASNY's financing process flow chart.

1.5 Procurement Structure

DASNY will use a two-step selection process for the Project consisting of (1) this RFQ and (2) a subsequently-issued Request for Proposal (RFP).

The Statement of Qualification (SOQ) submittal, evaluation, and selection processes are defined herein. DASNY intends, but is not bound, to shortlist three or four Vendors depending on the submittals received; provided, however, DASNY reserves the right to increase or decrease the number of shortlisted firms if deemed necessary.

The shortlisted Vendors will be provided with a RFP from which to respond. All Vendors will be notified upon completion of the selection process.

Throughout this RFQ, we may refer to the Vendor as "Respondent" or "Recipient" depending on the context.

Section 2 – Engagement Requirements

2.1 System Requirements

The preferred solution will meet or most closely achieve the following system requirements:

2.1.1 General

- 2.1.1.1 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).
- 2.1.1.2 Accommodates a minimum of 100 users including internal and external users.
- 2.1.1.3 Allows the management of a minimum of cumulative financing portfolio of **1,500** bond issues containing **2,000** bond series and **2,000** debt service schedules with outstanding balances, a minimum of 7,000

investment accounts and 700 TELP records at one time without degradation to system performance.

- 2.1.1.4 Available for customer/staff usage 24 hours a day, 7 days a week.
- 2.1.1.5 Customer support: business hours (8:00am to 5:00pm ET) required; emergencies off-hours support (including disaster recovery) required.
- 2.1.1.6 Provides mobile apps or mobile web interface for Microsoft Windows, Apple iOS, and Android.
- 2.1.1.7 Web application compatible with Chrome and Internet Explorer and does not require code installation on workstations.
- 2.1.1.8 Ad hoc reporting and user-defined dashboard capabilities.
- 2.1.1.9 Integration with an electronic signature product (like DocuSign®).
- 2.1.1.10 Provides customizable business rules.
- 2.1.1.11 Availability of assets must be provided, and business continuity plans must be produced, maintained, and tested. To prevent loss of availability of DASNY's resources, measures must be taken to backup data, applications, and server configurations.

2.2.1 Integration

- 2.2.1.1 Interfaces with third party applications through Web Services, API's, ODBC, or others.
- 2.2.1.2 Must be able to integrate to DASNY's financial system (JD Edwards World).
- 2.2.1.3 Ability to run scheduled batch jobs to push/pull data to/from other systems.
- 2.2.1.4 Integration is able to run different processes on different schedules. Individual synchronization is able to run at a scheduled date/time at least once a day.
- 2.2.1.5 Can be integrated with an Enterprise Content Management System (ECMS).

2.3.1 Migration

- 2.3.1.1 Ability to migrate validated data using common formats.
- 2.3.1.2 Ability to migrate records, documents, and metadata from external systems as indicated in section 1.3 and financial system (JD Edwards World).

2.4.1 Security

- 2.4.1.1 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.

- 2.4.1.2 Application must support role-based security.
- 2.4.1.3 Ability to allow staff to maintain and track user access, password maintenance, and user capabilities.
- 2.4.1.4 The Vendor must restrict 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.
- 2.4.1.5 The Vendor must provide a strong password policy that includes a combination of letters, numbers and symbols (@, #, \$, %, etc.) if allowed.
- 2.4.1.6 At any point during this contract or in the event of termination of this contract for any reason, DASNY must receive a complete extract of all data and referenced files stored on the application. The integrity of the data and referenced files must be maintained in the extracts. The data must be provided in a commonly used electronic format, and it will be kept by the Vendor until full migration of the data to another provider is completed.
- 2.4.1.7 Upload and download of data must be performed by using an encrypted and secured connection.
- 2.4.1.8 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's data.
- 2.4.1.9 The Vendor must have 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.
- 2.4.1.10 Data sanitation and secure disposal of media which contains DASNY information will need to follow the NYS Sanitation/Secure Disposal Standard NYS-S13-003.
- 2.4.1.11 Integrity of assets must be maintained. DASNY's data cannot be altered in any form or shape as originally submitted by the users. DASNY's data belongs to DASNY and cannot be modified or copied with the intent of being used for private use.
- 2.4.1.12 An enterprise, leading-edge anti-virus application must be installed and updated accordingly on all servers which host DASNY's data.

2.2 Preferred Requirements

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

1. Available periodic (annual minimum) system upgrades ensuring product continuity for a 10-year period.
2. Provides Single Sign-On (SSO) using an industry standard such as AD, ADFS, SAML.
3. Provides options for Multi Factor Authentication.
4. Provides data field level security.
5. Provides a strategy for implementing a document retention schedule.
6. Provides smart rules functionality to allow DASNY's system administrator and key users to add and customize smart rules without programming customization required.
7. Available online user community discussion platform and periodic (annual minimum) user conferences.
8. Provides training videos, presentations, instructor led classes, remote sharing tools and hands-on walkthrough guides.

2.3 Freedom of Information Law and Public Disclosure

This RFQ and all information submitted in response to this RFQ constitute "records" subject to disclosure pursuant to the New York State's Freedom of Information Law (Public Officers Law, Article 6, § 84-90, the "FOIL Law" or "FOIL"). DASNY is required to make its records available for public inspection or copying, except to the extent that those records fall within one or more grounds for denial set forth in §87(2) of the FOIL Law. DASNY may deny access to parts of a SOQ and/or parts of a successful Respondent's contract (that Respondent may consider to "trade secrets") if disclosure would cause substantial injury to the competitive position of the subject enterprise. It is the responsibility of the firm to consult an attorney with any questions they have regarding this Law.

Section 3 – Content of Statement of Qualifications

3.1 Information to be provided by Respondent in the SOQ

The following is a list of required information that must be provided by the Respondent. Provide your response in the same order in which it is requested using numbered side tabs that correspond with each of the numbered tabs below. Your SOQ must contain sufficient information to assure DASNY of its accuracy.

Tab 1. **Transmittal Letter** including the following items:

- a. The contact name, title, telephone number, fax number and email address of the individual for the Respondent who will be DASNY's primary contact concerning this RFQ.

- b. A statement to the effect that the Respondent is willing to complete the Project scope of work as identified in Section 2.1, above, and will abide by the terms of the RFQ, including all attachments.
- c. The Transmittal Letter must be signed by the individual(s) authorized to contractually bind the Respondent. Indicate the title or position that the signer holds for the Respondent. DASNY reserves the right to reject a SOQ that contains an unsigned Transmittal Letter.

Tab 2. **Company Information** including the following information:

- a. Company History.
- b. Number of Employees.
- c. Financial Viability Assessment form included in this RFQ as an attachment.

Tab 3. **References**

Provide project summaries along with three (3) references of similar implementations.

Tab 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 Respondent's firm, if applicable.
- c. The current resume(s) and listing of recent projects completed by the proposed employees.

Tab 5. **Software** that includes the following information:

- a. Details on the product's capabilities that meet the system requirements listed in subsection 2.1.1 General Requirements section.
- b. Software description and features.
- c. Road Map that describes future enhancements and commitment to the current solution.
- d. License and maintenance cost model.
- e. Pricing structure for data storage capacity.

Tab 6. **Disaster Recovery (DR) Capability for Business Continuity**

Describe the DR plan with anticipated downtime to restore data integrity.

Tab 7. **Data Integration** that includes the following information:

- a. Details on the ability to meet the integration requirements listed in subsection 2.2.1 Integration of the System Requirements section 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.

Tab 8. Data Migration

- a. Details on the ability to meet the migration requirements listed in subsection 2.3.1 Migration of the System Requirements section with an explanation of how these requirements will be met.
- b. Propose options for archiving bond issuances that have reached maturity.

Tab 9. System Security

Provide details on the ability to meet the security requirements listed in subsection 2.4.1 Security of the System Requirements section with an explanation of how these requirements will be met.

Tab 10. Preferred Requirements

As applicable, describe how the preferred requirements listed in the Preferred Requirements section will be met.

Tab 11. 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 customer care plan for Post- Implementation.

Tab 12. 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).

Tab 13. Acceptance Testing

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

Tab 14. **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

Tab 15. **Product Matrix Capabilities Questionnaire**

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

In the Response column, select one of the following:

- Out of the Box – 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.
- Addon, in the comments, provide addon product information.
- Does not meet.

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

Tab 16. **Additional Information**

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

- Published case studies
- Conference information
- Newsletters
- Documentation

Tab 17. **Diversity Questionnaire**

Provide a completed Diversity Questionnaire, included in this RFQ as an attachment. It is the goal of DASNY to use qualified firms that have a demonstrated history of hiring, training, developing, promoting, and retaining minority and women staff and to encourage

participation by certified MWBE firms. This questionnaire elicits information about each responding firm to verify that its work environment demonstrates a strong commitment to diversity and diversity inclusion in the Respondent's team.

Tab 18. Freedom of Information Law and Public Disclosure

Should you feel your firm's SOQ 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.

Section 4 - Evaluation of the Statement of Qualifications:

SOQs shall undergo an evaluation process conducted by an Evaluation Committee. The Evaluation Committee will evaluate the SOQs based upon the criteria for selection as set forth in this RFQ. Selection of the successful Vendor to the RFP is contingent on reaching an agreement on contract negotiations.

4.1 Preliminary Review

The criteria identified below will be used by the Evaluation Committee in reviewing the SOQs in order to achieve the desired shortlist of Vendors. All of the identified criteria are all significant, but are listed in descending order of importance.

- Product's ability to satisfy the requirements and system integration capability (API interface)
- Data migration capability and approach
- Project Team, Key Personnel, Organization, and Processes, including Approach, and Experience
- Implementation approach

Section 5 – Submission of Statement of Qualifications

5.1 Submission of Statement of Qualifications

One (1) hard copy in three-ring binders, containing an electronic copy of SOQ stored on a thumb-drive/ flash drive should be submitted on or before 5:00 p.m. on August 9, 2019 to:

Nicole White
RFP Coordinator
515 Broadway
Albany, New York 12207-2964

Statement of Qualifications received after this date will not be considered.

Section 6 – Important Information Affecting Respondents

6.1 Statement of Qualifications Requirements

1. All inquiries regarding this RFQ should be addressed to the following individual:

Nicole White

Email: RFPCoordinator@dasny.org

All questions must be submitted by email to the RFP Coordinator by July 12, 2019, at 5:00 p.m. E.S.T. to be considered by DASNY, and are to be resolved prior to the submission of a response to this RFQ. A list of all substantive inquiries received with relevant responses will be posted on DASNY's website at www.dasny.org. Respondents are solely responsible for obtaining all such interpretations and supplemental instructions that have been issued.

2. A Respondent may withdraw a SOQ 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 5.1, above. The SOQ 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.

3. If a Respondent discovers an ambiguity, conflict, discrepancy, omission, or other error in this RFQ, the Respondent should immediately notify the contact person identified in Section 5.1, above. Notice of such error or omission should be submitted prior to the final due date and time for submission of SOQs. Modifications shall be made by addenda to this RFQ.

4. If a Respondent fails, prior to the final due date and time for submission of SOQs, to notify DASNY of a known error or an error that reasonably should have been known, the Respondent shall assume the risk of proposing. If awarded the contract, the Respondent shall not be entitled to additional compensation or time by reason of the error or its late correction.

5. A Respondent indicates its acceptance of the provisions and conditions enumerated in this RFQ by submitting a SOQ.

Based on the information received, the firms deemed most qualified by review of their respective RFQ's will be shortlisted and issued a Request for Proposal (RFP). Once selected, the shortlisted firms will be posted on DASNY's website, www.dasny.org.

Section 7 – Attachments

ATTACHMENT 1
FINANCIAL VIABILITY FORM

Please double-click the below icon to access the **Financial Viability Risk Assessment Form**



Financial Viability
Risk Assessment For

ATTACHMENT 2
PRODUCT MATRIX CAPABILITIES QUESTIONNAIRE

Please double-click the below icon to access **Product Matrix Capabilities Questionnaire**



Product Matrix Capabilities- Clean 4

ATTACHMENT 3
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	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)															Overall Totals
	Race/Ethnicity															
	Hispanic or Latino		Non-Hispanic or Latino							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																

(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.