

New York State Housing Finance Agency and State of New York Mortgage Agency
Request for Information for
Housing Management and Reporting Modernization Solution
QUESTIONS AND ANSWERS: Round 3 dated October 15, 2018

#	RFI Page #	Section	Question	Answers
1	5	3: Purpose	Do you have a list of existing reports with a description of each for SHARS?	<p>Yes, a list of existing reports exist. However, not all reports are going to be moving forward, as is. The current reporting done by the agency is on an ad hoc basis, by collecting data from multiple systems, and/or existing reports that are modified to meet the reporting needs. As the future system is expected to be comprehensive, the existing mode of using 3 or more separate systems will no longer exist.</p> <p><i>Future state reporting needs require reporting to be done at a granular level such as:</i></p> <ul style="list-style-type: none"> - Location (state, region, county, zip code, address). - Agency (Department, office, program area, unit, funding source, etc.). -Project specific reporting (Clients, funds disbursed, funds .reclaimed, development project details, units built, units rehabbed, etc.). -Population specific reporting (Breakdown of population metrics by region, project. etc.). -Comprehensive financial and accounting reporting. <p>Some of the future requested reports include but are not limited to:</p> <ul style="list-style-type: none"> - Unduplicated unit count by program, Program Area and/or office - Special Populations served the by program. - Total Leveraged Investments. - Applications submitted by region. - Projects funded by Regional Economic Development zones. - Allocation of funds by program and Program Area.
2	5	3: Purpose	Do you have a list of existing reports with a description of each for SAMIS?	<p>Yes, list of existing reports exist. However, not all reports are going to be moving forward, as is.</p> <p>See answer 1. for details</p>
3	5	3: Purpose	Do you have a list of existing reports with a description of each for MHP?	<p>Yes, a list of existing reports exist. However, not all reports are going to be moving forward, as is.</p> <p>See answer 1. for details</p>
4	7	Section 6.1 Current State	What COTS ERP solutions are being implemented as part of BAM?	Yes, being done in Prolink

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5	7	Section 6.1 Current State	Does HCR have Landscape of the Current State that highlights the following:	Some documentation exists. To be provided post vendor selection
			- Infrastructure (Servers, Operating System, Software, Gateways, etc.)	
			- Security (Hardware, Software, Security Model - E.g. LDAP Server, Active Directory Servers, Single Sign-on,)?	
6	7 & 10	Section 6.1 Current State and Section 6.2.2	Does the BAM ERP system include Project tracking, or a projects module that is integrated with fund tracking and grants management?	Yes, this is being done in Prolink.
7	9	6.2 Future State	Will the new solution include setting up new Infrastructure, HW and SW?	Yes, the new solution is expected to replace the existing applications / model 204 software and mainframe. HCR is open to the mode of hosting.
			If yes, will the vendor install the HW & SW?	
			If yes, will HCR consider Physical, Virtual, Cloud, hybrid ?	
8	9	6.2.1.1 Data Migration	Will HCR provide an M204 SME during the migration work or vendor will need to do analysis and independently do the migration?	HCR will provide a SME to assist with the migration and verification process. However, the vendor is expected to complete an independent analysis and be qualified to manage the migration independently if needed.
9	9	6.2.1.1 Data Migration	May we have the approximate number of tables and records that will be migrated from each system? SHARS?, SAMIS?, MHP?	SHARS, SAMIS and MHP contain approximately 42 mainframe data files and approximately 13 million records have been identified in SHARS, and 1.4 million records have been identified in MHP to date. Please note that the provided information is a approximation and not a final answer as all SAMIS, MHP and auxillary systems have yet to be fully assessed. Note: the mainframe DASD size does not translate one for one into server size. The DBA expects the size on a PC/Server to be about double the size on the mainframe, but we really have never translated that to make sure it is correct.
10	9	6.2.1.2 Data Warehouse	How many years of historical data will be retained for each system?	The initial migration requires all data currently housed in M204 databases and its auxiliary applications to be migrated. Data retention policies will be revised based on need and solution capability.
11	9	6.2.1.2 Data Warehouse	Are there metrics that define high-speed performance?	Not at the moment. Performance metrics will be clarified prior to issuance of the RFP.

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12	10	6.2.2 End-to-End Project Tracking	Will the functionalities be weighted to determine client's (HCR's) priority of each of the functions?	Monitoring a program and project from funding to compliance is a high priority. However, sub requirements within the End to End Project Tracking will be weighted and prioritized based on business needs.
13	11	6.2.3 User Roles	What are the current Security models, policies being used in the current system?	See link: https://its.ny.gov/eiso/policies/security for policy details.
14	11	6.2.4 Funding Sources	Does the new general ledger being implemented have a fund code chart field and is it being utilized in the chart field design of the new ERP system?	The Prolink solution has the functionality but is not implemented for the BAM project.
15	11	6.2.4 Funding Sources	Is there a current state application diagram that can show the integration of these functions?	Yes, it will be provided to selected vendor during implementation.
16	12	6.2.5 Manage Agency Programs	Is there a current state application that can show the integration of these functions?	Current application is limited to making a program Active or Inactive. The remaining functionality is a future state requirement that must be built.
17	12	6.2.5 Manage Agency Programs	Does the new general ledger have a program chart field and is it being utilized?	Not sure how to answer this. If we are referencing the future state, we would not know if it has a program chart field and whether it would be utilized.
18	12	6.2.6 Web Portal: Staff Portal	Will the portal requirement be weighted to determine client's priority of each of the portal requirements?	Yes, the requirements will be assessed to determine staff priority.
19	12	Section 6.2.6 - Web Portal: Staff Portal	Does HCR have an existing portal solution from the ERP or other COTS solutions being implemented that they wish to standardize on to?	No, an existing portal solution does not exist for HCR. Currently SharePoint sites and offline processes are being used to fill the gap.
20	14	6.2.9 Distribution Lists & Notifications	Will HCR provide sample reminders, templates and compliance certifications?	Yes, templates will provided for notifications, and sample files will be shared.
21	14	6.2.10 Financial Management	Is the new financial management system being set up for fund-based accounting as part of ERP or the BAM project?	Yes.
22	14	6.2.10 Financial Management	Is there a new mortgage billing system in the new BAM ERP System?	Yes, however Grants are not included. Grant management is a requirement for HMRM.
23	15	6.2.11 Enterprise Content Management	Is there a current state application that can show the integration of these requirements?	Yes, Content Server is used to meet HCR's needs and documentation or walkthrough can be provided.

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24	15	6.2.12 Reporting Capability	Is there a current state application that can show these reporting features, or a preferred HCR tool that the organization has existing skills to support?	HCR has multiple reporting tools that are used by various program areas. Staff is adept at using new applications with training and support.
25	15 & 16	6.2.12 Reporting Capability	For the solution to be integrated across programs, will HRC provide the technology landscape for each of the Program attributes, or report types listed that will need to integrate to the HMRM solution?	All data should be exported, transformed and loaded into a data warehouse, where reporting can be customized.
26	N/A		What version of SharePoint does HCR have deployed at the time of the RFI?	SharePoint online through the 0365 Tenant.
27	N/A		Are there current plans to upgrade that SharePoint environment? When, and to what version?	There are no plans to upgrade.
28	N/A		Is there a requirement, or any advantage to HCR, to having the new system largely integrate with your SharePoint environment?	Sharepoint is currently being used to fill the existing gaps in process management. For the future state, the agency is seeking to automate project and process management for end to end project tracking and reporting.
29	N/A		How much data currently resides I your M204 mainframe that needs to be ported to the new system? Could you please provide the approximate data volume for each of the SHARS, SAMIS, and MHP applications?	SHARS, SAMIS and MHP contain approximately 42 mainframe data files and approximately 13 million records have been identified in SHARS, and 1.4 million records have been identified in MHP to date. Please note that the provided information is a approximation and not a final answer as all SAMIS, MHP and auxiliary systems have yet to be fully assessed. Note: the mainframe DASD size does not translate one for one into server size. The DBA expects the size on a PC/Server to be about double the size on the mainframe, but we really have never translated that to make sure it is correct.
30	N/A		Is HCR open to the database in the new system residing in the cloud?	Yes, as long as the system is secure and can meet agency's requirements. Selected solution must have the ability to meet ITS security policies, see link below for details: https://its.ny.gov/eiso/policies/security
31	N/A		Can the whole system reside in the cloud?	Yes, as long as the system is secure and can meet agency's requirements. Selected solution must have the ability to meet ITS security policies, see link below for details: https://its.ny.gov/eiso/policies/security

#	RFI Page #		Questions	Answers
32	N/A		Does HCR currently maintain a web security staff in-house, who would take responsibility for the new system?	HCR does not maintain in-house security. ITS does have a security group (enterprise information security office). If hosted onsite by the state, ITS would b responsible for security. If hosted by the vendor, then they would need to meet NYS state government security standards, but the vendor would ultimately be responsible.
33	N/A		Does HCR currently maintain any other modern, SQL-based relational database servers, e.g. Oracle, SQL Server, MySQL, etc?	Yes, HCR currently has Oracle, and SQL server.
34	Pg. 12		Section 6.2.5, #1e states “Archived programs can have funds available that can be held or reallocated.” Does this imply, or does HCR desire, that the new system it seeks needs to integrate directly with any existing transaction-tracking or accounting application?	The new system must directly integrate with the existing accounting and financial management system. The agency is also open to a new accounting and financial management system, if it allows upgraded functionality, easier financial management and reporting.
35	General	6.2 Future State	What is the total number of users (internal and external) for this system?	Estimated number of internal users: 500 Estimated number of external users: 1500 Note: the numbers provided are estimation only, the actual number may vary.
36	5	3. Purpose	Is the current IBM Model 204 (“M204”) database system the only data source available or are there others?	In addition to the SharePoint sites, there are approximately 20 auxiliary applications in use, with their own data sets and duplicative processes. The data must be reconciled across applications and migrated to the new solution.
37	9	6.2.1.1 Data Migration	Has the agency identified all the databases that will be incorporated in the new database or will they be analyzed / finalized during the requirement gathering phase of the new project?	The agency has performed a high level analysis and identified the in-scope applications / associated databases. However, additional analysis must be performed with vendor involvement.
38	9	6.2.1.1 Data Migration	Is Data Cleansing and Balancing a collaborative effort or is the plan to be done by vendor only or agency only?	It is expected to be a collaborative effort with support and involvement from the necessary SME's. However, due to the staff limitations and active projects, the chosen Vendor is expected to take lead.
39	15	6.2.11 Enterprise Content Management	What kind of Enterprise Content Management system is DHRC using for document management and what version, e.g. FileNet, SharePoint?	Content Server 10.0.0.2829 SharePoint online through the O365 Tenant

#	RFI Page #	Section	Question	Answer
40	15	6.2.12 Reporting Capability	What kind of reporting software or services is DHRC using for canned report and what version, e.g. Crystal Reports, SSRS?	Reporting tools currently used are: <ul style="list-style-type: none"> - SHARS - Crystal Reports - Housing Report Card - HDS - Executive Information System DHCR- Reporting
41	General	6.2 Future State	Does HCR have a preferred technology for the HMRM project (i.e. java or .net)?	No, HMRM does not have a preferred technology and is open to new technologies that can help meet the agencies requirements.

Housing Trust Fund Corporation
Request for Information for Housing Management and Reporting
Modernization and Solutions
QUESTIONS AND ANSWERS: Round 2 Teleconference dated
September 28, 2018

Project Background

The meeting was held as a question & answer session for anyone interested in responding to the HMRM RFI. The Project is set up by HTFC and DHCR, with HTFC taking the lead. Mission is to develop, preserve and protect affordable housing and increase home ownership in the state of New York. Currently, we do this work with legacy systems that no longer meet the full needs of our business. Legacy systems include SHARS, SAMIS and MHP, these are M204 applications on the mainframe. Due to the lack of functionality, and over time, approximately 20 additional PowerBuilder / .NET applications and 11 SharePoint sites (with multiple excel spreadsheets) have been set up to complete the agency's work. The agency is seeking a solution that will bring all business requirements into a single place as a system of record and reporting.

Question & Answer Session

Q: Is the SHARS replacement expected to connect with other HCR agency or program systems for data exchange?

A: Yes, we are seeking a single solution that brings all the data together.

Q: Are you seeking an on-premises solution?

A: You can present the solution either way. It can be an on premises solution, hosted in the cloud or even vendor hosted.

Q: What are the approximate number of internal users?

A: The estimated number of internal users is 500 unique users with a variety of user permissions.

Q: How far along is HCR with the ERP solution being implemented?

A: The ERP solution is in the middle of implementation and have not gone live yet. SAP is being used for financial piece and Prolink solution is being used to meet other requirements.

Q: Does HTFC allocate 9% credits?

A: Yes, we do.

Q: Do you have a need for external users to access the system?

A: Yes, we do. We would like to have a portal where possible applicants can apply to different programs with the agency (Applicant Portal). Also, a portal for when selected applicants are awarded a project and become customers. (Client Portal). Another portal for internal staff to be able to complete their tasks (Staff Portal). Most external users that will be accessing the portals will be developers and municipalities.

Q: Do you prefer a COTS/SaaS solution or a custom software solution?

A: We have no preference at the moments, we are looking to see what is available in the market.

Q: Can you describe the funds tracking requirement in more detail?

A: The finance team will open a program by funding it in the system. The system will allocate funds, notify program areas of funds available, monitor draw-downs thru the lifecycle of the project (within the given program).

Q: Will you have staff available to assist with the business process discovery through the project lifecycle?

A: Yes, staff will be available during the planning and design phase.

Q: Does your funding need to interact at all with your ERP system?

A: As mentioned in the RFI, we are looking to create a data warehouse, which will pull data from multiple sources. The data warehouse will connect the BAM project as well, so we can pull data and have proper reporting.

Q: Regarding funding and drawdowns, do you manage individual construction line items and approvals?

A: Yes, the program areas will need the ability to manage individual construction line items and approvals.

Q: Can you describe the wish to be able to setup a new funding program, as opposed to what you do now?

A: For future use, during the funding phase, finance will allocate funds in the system. The system will then alert the program areas as to available funds for programs. Program areas can then award projects for that program and continue to draw down from the available funding. Currently this is a manual process, handled by phone calls and emails. We would like to automate this for better tracking and reporting.

Q: Are the funded projects single family or multi family?

A: Our programs fund both single and multi-family projects. A bulk of the projects are multi family but single family projects are also included. System needs to be able to handle both.

Q: Does the system need to integrate with HUD, IDIS or DRGR system?

A: Yes, that would be optimal.

Q: Do you perform Asset Management on the projects?

A: Yes, currently that takes place in the SAMIS system. There is a process in place, to migrate data from SHARS, during Closeout, to SAMIS.

Q: Do you have any existing process maps?

A: Yes, process maps do exist. They will be shared with the vendor that is selected for implementation of HMRM.

Q: What kind of information do you collect during the Asset Management process? Annual, financial, occupancy, etc.?

A: There's a plethora of information that we would like to see submitted online. We would like to use that same system for multiple processes that must take place throughout the year. Information collected is used for processes like the annual tax credit owner recertification. In general, audited financial statements are submitted, insurance certifications, etc. We have a variety of annual recording requirements that the client must meet. We also use collected information to ensure compliance tasks are performed.

Q: When a project is completed and ready for housing, does the agency continue to manage it?

A: Yes, once the project is completed, it is transitioned into the Asset Management and compliance phase. Currently it is managed thru the finance department with annual mortgage payments.

Q: Do you have the timeline for issuing an RFP after this process?

A: RFP is expected to be issued during first half of 2019.

Q: Do you track LIHC compliance, tenant move in and move out?

A: No, we do not.

Q: Does the 10 page RFI response limit include screen shots?

A: Yes, but if a potential vendor would like to add screen shots, they can submit a request (with the number of added pages) to see if they will be accepted.

Q: Are you based out of Albany or New York City?

A: We have a presence in both locations.

Q: Would the questions be published for reference?

A: Yes, the Q&A will be published with the RFI and include responses to questions we could not answer now.

Q: Will the Participants list also be published?

A: No, the participants list will not be published.

Housing Trust Fund Corporation
Request for Information for
Housing Management and Reporting Modernization and Solutions
QUESTIONS AND ANSWERS: Round 1 dated September 14, 2018

	QUESTION	AGENCY RESPONSE	RFP REFERENCE
1	If there is to be a solicitation for this or a related project, is there an estimated timeframe for solicitation release or project start date?	No information relating to future solicitation is available at this time.	Page 6, Section 4
2	Has funding been secured for this project? If so will it be available in FY2019?	No information relating to future project is available at this time.	
3	Whether companies from Outside USA can apply for this? (like, from India or Canada)	Companies from outside the USA may submit a response to this RFI.	
4	Whether we need to come over there for meetings?	Respondents may be asked to meet with HTFC staff for interviews and demonstrations.	
5	Can we perform the tasks (related to RFP) outside USA? (like, from India or Canada)	The response to this RFI may be submitted from outside the USA.	
6	Can we submit the proposals via email?	Proposals are not being requested, but responses to this RFI must be submitted via email.	
7	What constitutes an applicant? (pg. 8, section 61, pg. 10 section 6.2.2) a. Who are your customers? b. What kind of business is the applicant in?	Applicants include Housing Developers, Not-for-Profit Organizations, and Local Municipalities who apply for funds through various state programs to finance affordable/supportive housing units and fund upgrades to town and city centers. a. Customers are applicants who have submitted appropriate applications and whose projects were awarded (based on specific criteria per program). b. Customers are Housing Developers, Not-for-Profit Organizations and Local Municipalities.	Page 8, Section 61, & Page 10 Section 6.2.2

8	Is financial management in play?	<p>Financial Management is necessary functionality. It is related to the following items as found in the “Current State” section on page 8 of the RFI:</p> <ul style="list-style-type: none"> c. Capture of new funding sources by program and budget year; d. Capture set asides, as percentage of, from funding sources for HCR expenses; e. Capture and maintain multiple programs as funding sources; f. Capture payment distribution and funds available details; g. Capture and track loan repayments; <p>Additional Financial Management requirements can be found in:</p> <ul style="list-style-type: none"> f. Section 6.2.4 – page 11 – Funding Sources g. Section 6.2.10 – page 14 – Financial Management 	
9	Are there any systems they own they are looking to replace?	<p>As per the RFI, the major systems looking to be replaced are mentioned on page 5 in the “Purpose” section:</p> <ul style="list-style-type: none"> a. “The M204 applications include the Statewide Housing Activity Report System (“SHARS”), Statewide Asset Management Information System (“SAMIS”) and the Manufactured/Mobile Homes Program (“MHP”), plus any ancillary applications created to add functionality to these legacy systems.” b. There are also approximately 20 ancillary PowerBuilder / .net systems and 11 SharePoint sites that exist to support the current m204 applications. These would all be replaced by a new solution. 	

