



**Governor's Office of
Storm Recovery**

KATHY HOCHUL
Governor

**REQUEST FOR INFORMATION: Case Management
Software Solution – GOSR-RFI-2022-01**

**HOUSING TRUST FUND CORPORATION
GOVERNOR'S OFFICE OF STORM RECOVERY**

Request for Information for Case Management Software Solution

RFI Issuance Date	11/28/2022
Questions Due Date	12/07/2022– 2:00 PM EST
RESPONSE SUBMISSION DATE	12/28/2022 – 2:00 PM EST
Submission Notes	<p>Respondents must carefully read all instructions, requirements, and specifications.</p> <p>NOTE: a Respondent's entire response must not exceed 20 pages total. A page is defined as one side of sheet, 8 1/2" × 11", with at least one inch margins on all sides, using not smaller than 11 point font.</p> <p>Responses must be submitted electronically to: Email address: GOSRProcurement@stormrecovery.ny.gov Subject line: Response Submission – Case Management Software – GOSR-RFI-2022-01</p>



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**REQUEST FOR INFORMATION: Case Management
Software Solution – GOSR-RFI-2022-01**

Contents

I. INTRODUCTION.....	3
II. PURPOSE	3
III. TIMETABLE.....	4
IV. SUBMISSION INSTRUCTIONS	5
V. OBJECTIVES	6
VI. GENERAL PROVISIONS.....	9



KATHY HOCHUL
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**REQUEST FOR INFORMATION: Case Management
Software Solution – GOSR-RFI-2022-01**

I. INTRODUCTION

The Governor's Office of Storm Recovery ("GOSR") of the Housing Trust Fund Corporation ("HTFC") administers Federal grant funds from various sources, including but not limited to grants from the U.S. Department of Housing and Urban Development ("HUD"). All purchases made with grant monies shall comply with the terms and conditions of the grant, as well as the applicable Federal, State, and local procedures regarding these purchases. All Federal grant awards are subject to the Uniform Administrative Requirements and Cost Principles, codified at 2 CFR 200. This includes the standards for procurements under Federal grants, which applies to contracts for services, goods, construction, or repair. GOSR shall follow applicable local and State requirements except to the extent that these are inconsistent with Federal statutes, regulations, or grant conditions.

II. PURPOSE

This is NOT a solicitation for proposals, proposal abstracts, or quotations. This announcement does **not** constitute an Invitation for Bids (IFB), Request for Qualifications (RFQ), or a Request for Proposals (RFP), and it should not be construed as a commitment of any kind by GOSR to issue a formal solicitation or ultimately award a contract. In addition, Respondents responding to this RFI shall bear all risks and expenses of any resources used to provide the requested information. The submission of capability information in response to this RFI is purely voluntary.

To improve performance, enhance availability, facilitate legal compliance and federal guidance, and manage cost, GOSR is seeking information for a Case Management software solution from Software Providers with proven experience in the public sector for the functional areas of overall Case Management, including Application Intake, Application Processing, Applicant Payment, Workforce Management, and Relationship Management. GOSR would primarily seek to migrate active programs, recapture and related program files, and prepare for future direct and indirect-benefit programs.

The objectives of this RFI are to:

- Summarize GOSR's Case Management software solution needs;
- Develop an understanding of vendor capabilities that will meet GOSR's objectives;
- Determine the best contracting vehicle(s) to meet GOSR requirements; and
- Understand successful implementation strategies and project risks.

GOSR may use the information received in connection with this RFI to develop and issue a formal Request for Proposal (RFP) to procure the services contemplated herein. Submission of an RFI is not a condition for future consideration as a Respondent to a formal RFP. **Please do not include any pricing, estimates or defined pricing structures in your response.** Respondents may include industry standards and best practices related to the products/services described within this RFI. Responses to the RFI do not obligate GOSR or the Respondent. This RFI is not a procurement process and may not be used to (a) solicit cost, pricing, or rate information; (b) negotiate fees; (c) make a purchase; or (d) enter into a contract.



KATHY HOCHUL
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**REQUEST FOR INFORMATION: Case Management
Software Solution – GOSR-RFI-2022-01**

III. TIMETABLE

A. QUESTIONS

Prospective Respondents are strongly encouraged to check the “Procurement Opportunities” webpage frequently for updates and additional information pertaining to this RFI. All questions and correspondence must be sent to GOSRProcurement@stormrecovery.ny.gov. All questions must reference this specific RFI in the subject line of the email. For example, the subject line for questions related to this RFI should read **RFI Question – Case Management Software**. Any correspondence or questions sent to any other email address regarding this RFI will not receive a response.

It is the sole responsibility of the Respondent to check for any addenda and/or additional information on the “Procurement Opportunities” webpage: <http://stormrecovery.ny.gov/doing-business-with-gosr/rfps>

It is the responsibility of each Respondent to examine the entire RFI package and seek clarification in writing when necessary.

The deadline for submission of questions relating to this RFI is **12/07/2022 no later than 2:00 PM EST**.

All questions submitted in writing prior to the deadline will be compiled and answered in writing via an Addendum. A copy of all questions and answers via Addendum will be published online and/or forwarded in an email to all firms. GOSR will not be bound by any information conveyed verbally.

B. ADDENDA

Prior to the Response submission deadline, GOSR may wish to amend, add to, or delete from the RFI. GOSR may also issue clarifications resulting from any questions submitted. In such situations, GOSR shall issue an Addendum to the RFI setting forth the nature of the modification. Once an Addendum is issued, all Respondents will be notified via email that an Addendum has been issued.

Please Note: Respondents are responsible for ensuring that they have received any and all Addenda.

C. EXTENSIONS

GOSR reserves the right to extend the Response due date and time prescribed above. However, unless GOSR issues a written Addendum to this RFI that extends the Response due date and time for all Respondents, the Response due date and time prescribed above shall remain in effect.

D. SCHEDULE SUMMARY

The following is the estimated timetable and is provided to assist responding Respondents in planning:

RFI Issuance Date	11/28/2022
Questions Due Date	12/07/2022 – 2 PM EST
RESPONSE SUBMISSION DATE	12/28/2022 – 2 PM EST

GOSR reserves the right to modify this schedule at its discretion. Notification of changes in connection with this RFI will be made available to prospective Respondents via electronic email. It is the sole responsibility of



KATHY HOCHUL
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**REQUEST FOR INFORMATION: Case Management
Software Solution – GOSR-RFI-2022-01**

Respondents to periodically review the GOSR website for regular updates to the RFI which may alter the terms or requirements of this RFI.

IV. SUBMISSION INSTRUCTIONS

A. DIGITAL FORMAT

GOSR will accept Responses in digital format. Responses must be submitted via email to GOSRProcurement@stormrecovery.ny.gov.

B. INTERVIEWS / DEMONSTRATIONS

GOSR reserves the right to request and conduct interviews and demonstrations from Respondents. Respondents whose solutions illustrate the capability to provide the envisioned software solution may be invited to provide a demonstration of their solution to GOSR. As this process is not a solicitation, not all Respondents will be requested to provide a demonstration. Demonstrations will not be scored, but rather will be used to gather a general understanding of capabilities and functionality of solutions.

The purpose of the interview and demo is to assist GOSR in better understanding the Respondent'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 and demo. If determined that additional interviews and demos would be beneficial to hold with any or all Respondents, the Respondents will be contacted by the Designated Contact of GOSR to arrange.

C. RESPONSE DOCUMENTS

GOSR invites Respondents to include the following sections in their response, referencing the same numbering system as used in this section. The information provided should address the specific response item, and to the extent possible, be informative and concise.

NOTE: a Respondent's entire response must not exceed 20 pages total. A page is defined as one side of sheet, 8 1/2" × 11", with at least one-inch margins on all sides, using not smaller than 11 point font.

☒	<p>SECTION I. Software Solution Information</p> <ul style="list-style-type: none">• Software Solution Overview: Provide an overview of your recommended solution and how it fulfills the Potential System Capabilities outlined under Part V – Objectives, below. Highlight any third-party products included in the solution, with an explanation of why these products are the recommended option. In addition, highlight any innovative features in the solution and why these are value-add.• Technical Platform – Describe the recommended technical delivery platform for the proposed solution. As appropriate, describe the high-level architecture that supports the solution, and critical technical components that are required for a successful implementation.System Security – Provide an overview of your system access controls including Multi-Factor Authentication (MFA) features. Provide an overview of your internal security controls or certifications (e.g., FedRamps); and, system security features.(e.g., multi-factor authentication).Unique Requirements
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KATHY HOCHUL
Governor

**REQUEST FOR INFORMATION: Case Management
Software Solution – GOSR-RFI-2022-01**

	– Describe your approach to address client-specific needs within your solution regarding creating, configuring, and modifying business process models and workflows for business transactions based on business rules.
<input checked="" type="checkbox"/>	<p>SECTION II. Implementation and Post-Implementation Information</p> <ul style="list-style-type: none"> • Project Management: Describe implementation methodology, project staffing including roles and responsibilities and typical installation process, if applicable. • Training: Describe your approach to training GOSR’s project team and system end users. Include perspectives on train the trainer versus consultant led training delivery, and any successes or lessons learned from computer-based training approaches to effectively train remote or large numbers of end users. If your organization has publicly available training videos or other content, provide a link to the available training materials. • Customer Support: Describe post-implementation customer support for business hours and emergency off-hours support. • Previous Work: Describe similar grant management system implementations, including scale and state/local government client (if feasible).
<input checked="" type="checkbox"/>	Certification Regarding Lobbying – Respondent must sign and submit the <i>Certification Regarding Lobbying</i> form.
<input checked="" type="checkbox"/>	Respondent Overview & Certification – Respondent must sign and submit this form.

V. OBJECTIVES

GOSR is requesting that providers present information on their firm’s capabilities as well as information on the application’s functionality. Also, GOSR would like to understand the provider’s services from initial system implementation through ongoing maintenance and support of its users.

Potential System Capabilities:

- A. Workforce Management
 - Enable project leadership to manage case manager/quality assurance workflow assignments and priorities
 - Enable project leadership to maintain a dashboard of open items per case manager
 - Enable operations to communicate within the system
- B. Relationship Management
 - Enable relationship management tracking – organizations, contacts, notes, etc.
- C. Indirect Programs/Projects
 - Enable project submission, prioritization, award evaluation and approval workflow
 - Enable contract management/contract amendment management



KATHY HOCHUL

Governor

**REQUEST FOR INFORMATION: Case Management
Software Solution – GOSR-RFI-2022-01**

- Enable project schedule management, status tracking, budget, expense tracking and costs paid tracking
- Enable integration with DRGR codes

Direct Program Capabilities:

A. Application Intake

- Enable mobile-friendly intake and application management for applicants
- Enable applicants to verify their identity, submit a complex application, and upload documentation online
- Multi-lingual – Ability to run programs in one or more languages¹
- Enable applicants to provide an eSignature

B. Application Processing

- Application Prioritization and Workflow: Enable application prioritization (e.g., application review and scoring), assignment and status-driven workflow based on agency defined needs
- Case Management: Enable case managers to effectively review, gather additional information, review/approve applications, and document communication with applicants
- External Data Verification:
 - Enable matching and loading of external data (e.g., duplication of benefits)
 - Enable workflow processes for case managers to assess and verify external applicant data
 - Enable third-party identity verification
- Documentation Management:
 - Enable documentation upload and version control
 - Enable backend mass documentation upload
- Communication:

¹ Based on the 2020 American Community Survey, the top 12 most common languages among Limited English Proficient New Yorkers are:

1. Spanish
2. Chinese
3. Russian
4. Yiddish
5. Bengali
6. Korean
7. Haitian Creole
8. Italian
9. Arabic
10. Polish
11. French
12. Urdu

Source: U.S. Census Bureau, Table B16001, 2020 5-year estimate. American Community Survey



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**REQUEST FOR INFORMATION: Case Management
Software Solution – GOSR-RFI-2022-01**

- Enable agency to applicant and applicant to agency communication_
- Enable internal stakeholders to document offline communications for both internal and external stakeholders involved in the application process

C. Applicant Payment:

- Enable agency to conduct payment processing and tracking

D. Audit:

- Enable audit-friendly view of applicant data and decisions

E. Closeout:

- Enable grant closeout related functionality

F. Recapture:

- Enable the recapture of incorrectly distributed funds

System Needs:

A. Reporting and Dashboards:

- Enable report generation and dashboards showing the KPIs and data points
- Enable integration with third-party data and analytics systems (e.g., PowerBI or Tableau)

B. Third-Party System Integration:

- Identity Verification (e.g., integration with EquiFax Identity Verification)
- Address verification using the United States Postal Service
- GIS System Integration
- Enable data integration via FTP or API
- Integrations with various federal sources (e.g., SAM.gov for verifying federal funding)
- Integrations with contract management, finance and/or compliance systems

C. Integration with NY-State Infrastructure:

- Ensure the system can integrate with a Microsoft SQL environment

D. Data Backup; Data Retention and Disposition:

- Ensure daily backups of data to NY State technology infrastructure
- Enable data retention and disposition management

E. Data Privacy and Security:

- NY SHIELD Compliant
- SOC 2 Compliance
- ADA Compliance
- Adhering to NIST



KATHY HOCHUL

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**REQUEST FOR INFORMATION: Case Management
Software Solution – GOSR-RFI-2022-01**

- FedRAMP Compliant

F. Data Processing:

- Enable the ability to import/export and transform data

G. Access and Permissions:

- Enable complex access and permissions -- i.e. program data may need to be separated based on specific policy details (e.g., different storms); case management staff may require a various types of access/user profiles based on their job tasks, etc.
- Single sign-on integration for applicants (e.g., Google Sign On and others)
- Single sign-on integration for NY State agency users (i.e. via Microsoft 365)
- User Experience
- Mobile friendly user interface

H. System Upgrades:

- Vendor to provide regular system upgrades to ensure ongoing functional and security upgrades as needed.

VI. GENERAL PROVISIONS

The issuance of this RFI and the submission of a Response by any Respondent or the acceptance of such Response by GOSR does not obligate GOSR in any manner. By submitting a Response, Respondent agrees to the terms of this RFI. GOSR reserves the right to:

- Amend, modify, or withdraw this RFI;
- Revise any requirement of this RFI;
- Require supplemental statements or information from any Respondent;
- Extend the deadline for submission of Responses;
- Hold discussions or request interviews with any Respondent;
- Request demonstrations from any Respondent;
- Communicate with any Respondent to correct and/or clarify responses which do not conform to the instructions contained herein; and
- Cancel or reissue in whole or in part this RFI.

This RFI shall not be construed in any manner to implement any of the actions contemplated herein, nor to serve as the basis for any claim whatsoever for reimbursement of costs for efforts expended in preparing a Response or otherwise. All costs associated with responding to this RFI will be at the sole cost and expense of the Respondent.

Responses and any other materials submitted in connection with this RFI are subject to disclosure under the New York State Freedom of Information Law, Article 6 of the Public Officers Law. The submission of a Response is not required to participate in any potential future Request for Proposals.

1. AUTHORIZATION TO DO BUSINESS IN NEW YORK



KATHY HOCHUL

Governor

**REQUEST FOR INFORMATION: Case Management
Software Solution – GOSR-RFI-2022-01**

All Respondents are required to have and maintain any licenses, certifications, and registrations required by the State of New York, GOSR, or municipality in which the work takes place, or as required by recognized professional organization governing the services performed under this contract (such as professional licensing requirements i.e. licensed plumbers).

A Sole Proprietorship, General Partnership, and all business entities (SP, LLC, INC, etc.) doing business under a name other than the name of the owner requires a DBA (Doing Business As) Certificate, which must be filed within the state or locality in which they are doing business. If a Respondent's business isn't located in New York, Respondents must submit the licenses, certifications, and other documentation required by the locality in which their business is based.

2. DISQUALIFICATION OF RESPONDENT

Respondent certifies that Respondent has not violated the antitrust laws of this State or of Federal antitrust laws. Any or all Responses may be rejected if GOSR believes that collusion exists among Respondents. Nothing herein prohibits Respondents from submitting multiple Responses for different products or services.

3. SUPPLEMENTAL MATERIALS

Respondents are responsible for including all pertinent product data in the returned Response package. Literature, brochures, data sheets, specification information, completed forms requested as part of the Response package and any other facts which may affect subsequent contract award should be included.

4. CONFLICTS OF INTEREST

Prior to responding to this RFI, the Respondent must perform a conflict of interest inquiry and disclose to GOSR in its Response of any and all potential conflicts of interest that exist or may exist for its organization and/or subcontractors or affiliates in relation to the scope of work contained in this document.

In the event of real or apparent of conflicts of interest, GOSR reserves the right to impose additional conditions upon Respondents. The successful Contractor will be subject to the provisions on conflicts of interest set forth in section 74 of the New York State Public Officers Law. Contractor shall immediately inform GOSR in writing of actual or potential conflict of interest that arises under a contract.