



REQUEST FOR PROPOSALS (RFP): Data Governance Program Maturity Assessment and Plan

Revised July 1, 2024

Background

The New York City Housing Development Corporation (HDC) is the nation's largest municipal housing finance agency and is charged with helping to finance the creation and preservation of affordable housing for New Yorkers.

As a result of a comprehensive technology assessment, HDC established a data governance program in early 2023, which has succeeded in achieving its short-term operational goals to date. HDC's data governance program is an organization-wide effort, with strategic direction and dedicated staff provided by the Policy and Analytics Division (P&A) of HDC's President's Office; project management and implementation support from the Information Technology Department's Project Management Office (PMO); and business-focused guidance from an interdepartmental advisory board.

Objectives

As the data governance program enters its second year of operation, HDC is seeking a consultant to complete the following tasks. Although HDC would ideally like to include all four tasks in this engagement, we may elect to defer Tasks 3 and/or 4 to a future engagement.

Task 1: Evaluate the current state of the data governance program against industry best practices for data and analytics governance programs.

Task 2: Recommend and prioritize which activities and/or capacities the data governance program should develop to sustainably advance to the next phase of maturity that would best support HDC's needs.

Task 3, Optional: Create a workplan/roadmap that HDC can follow to implement the activities/capacities recommended in Task 2.

Task 4, Optional: Suggest which tools HDC may need to procure to support the activities/capacities recommended in Task 2 (e.g., functionality to include but not limited to data catalog, data documentation, data management systems, etc.).

Scope of Work

By the end of the engagement, the selected respondent must produce the following deliverables at minimum:

- A detailed report with findings and recommendations from the tasks included in the selected respondent's scope of work;
- Presentation slides to brief the client team and leadership with a summary of the above deliverables;

- If the selected respondent is directed to complete Task 3, an implementation workplan/roadmap document;
- If the selected respondent is directed to complete Task 4, a document with market comparison, product comparison, and estimated cost for each tool.

We encourage respondents to be creative in proposing specific activities and timelines needed to complete the objectives of this engagement. We also expect the selected respondent to create and/or provide any materials needed to support data collection, meetings/focus groups/interviews, and/or presentations needed to complete the objectives.

Areas of interest to the HDC team include but are not limited to the following:

- Staffing and resource requirements;
- Prioritization criteria for data resources to bring under the data governance program;
- Enforcement of policies, standards, and processes;
- Preparedness for data cataloging and integration tools; and
- Reporting system best practices.

The selected respondent will have access to the following resources:

- Key HDC staff implementing the data governance program;
- Regular weekly check-ins with client leadership to ensure alignment on priorities, deliverables, and timeline;
- Access to program planning and operation documents; and
- Access to HDC staff related to the data governance program.

We encourage respondents to identify any additional resources needed to successfully complete this engagement's tasks and deliverables.

Selection Criteria

Respondents will be evaluated on their ability to successfully complete all four tasks noted in the Objectives section above. Additionally, respondents and submissions meeting the following criteria may be viewed favorably:

- Experience working with financial institutions, public sector agencies, and/or, most ideally, housing finance agencies;
- Experience advising clients in data and analytics governance;
- Experience with technical solutions needed to support data and analytics governance programs;
- Experience advising clients with complex, interrelated, mission-critical data systems;
- Experience advising clients who must provide accurate data to meet time-sensitive legal and regulatory requirements;
- Orientation to people and business process aspects of data and analytics governance;
- Ability to design and engage in productive dialogues with client staff and leadership;
- Competitive pricing;
- Ability to complete deliverables by November 29, 2024.

After submission, HDC will review proposals and may select respondents for an interview. Please refer to the anticipated schedule below for details on the submission deadline and anticipated review and notification milestones.

Anticipated Procurement and Delivery Schedule

All deadlines below are at 5 p.m. eastern time. HDC reserves the right to modify this schedule as necessary. The engagement timeline indicated below does not necessarily reflect our expectation of the number of hours required to complete the requested tasks and deliverables.

Release RFP	Monday, June 17, 2024
Deadline for questions—nonsubstantive only	Wednesday, July 3
Q&A posted	Monday, July 8
Submission deadline	Friday, July 12
Notification of firms selected for interview	Friday, July 26
Interviews	Monday, July 29 – Friday, August 9
Notification of selection for engagement	Friday, August 16
Contracting	Monday, August 19 – Friday, September 13
Anticipated engagement start	Monday, September 16
Final deadline for deliverables	Friday, November 29

Submission Requirements

Please submit your response and any nonsubstantive questions (i.e., clarifying, logistical, or administrative questions about the RFP process) electronically to DataGov@nychdc.com by the deadlines noted above. Hard copy RFP responses will not be accepted. In the interest of inspiring the most creative responses, HDC does not intend to answer substantive questions (i.e., about HDC, the data governance program, or the proposed scope of work) prior to submission. Background information on HDC can be found on our [website](#).

Responses must include all of the following:

- Overview of your firm, including any key differentiators
- Description of qualifications, including but not limited to industry/sector-specific experience and experience with data and analytics governance
- Project understanding and approach: A statement demonstrating your understanding of the services requested and explaining your approach to meet the above objectives
- Proposed project plan with a roadmap of sub-deliverables and client review cadence
- Example case(s): Work products from similar engagements
- Team description: A list of the key team members who would be assigned if selected for this engagement, along with their experience. Please provide information on relevant/similar projects that the team members have completed. Also, share information on any sub-consultants, if any, you plan to use

- Proposed budget with itemized costs for each task
- List of client references
- Proposed form of contract and/or engagement letter, which includes all of your terms and conditions
- Conflicts of Interest Statement, which lists all conflicts of interest and your plan for addressing or waiving such conflicts. If you have no conflicts of interest, your proposal must include a statement that you have no conflicts of interest.
- Additional documentation (as explained in the Appendix):
 - A copy of the firm's most recent Employer Information Report EEO-1
 - Description of participation of Minority and Women Owned Business Enterprises (MWBE), if any, in the proposed scope of work
 - Description of the respondent's relationship to the City of New York
 - Complete Doing Business Data Form as required by Local Law 34 of 2007

General Terms

The issuance of this Request for Proposal ("RFP"), and the submission of a proposal by the firm or the acceptance of such proposal by HDC, does not obligate HDC in any manner whatsoever. Legal obligations will only arise upon the execution of formal agreements by HDC and the firm selected to render services described herein.

HDC reserves the right to amend, modify, postpone or withdraw this RFP; to waive any requirement of this RFP; to require supplemental statements and information from proposing entities, to accept or reject any or all proposals received as a result of this RFP; to extend the deadline for submission of proposals; to negotiate with any proposing entity which responds to this RFP; to hold discussions with any proposing entity; and to correct deficient proposals which do not completely conform to the instructions given in this RFP. HDC may exercise such rights at any time without notice and without liability to any proposing entity or other parties for their expenses incurred in preparation of the proposal. In its review, HDC may accept a proposal but require modification or negotiation of scope. Although discussions may be conducted with proposing entities submitting acceptable proposals, awards may be made without discussion.

The scope of services described in this RFP provide the most current and accurate descriptions of services sought by HDC. However, at the time contracts are executed, programmatic changes may result in changes to the scope of services.

All documents presented in response to this RFP will become the property of HDC. The Corporation is subject to the New York State Freedom of Information Laws ("FOIL") and as such HDC shall release all records subject to FOIL without notice or consent of responder.

The proposal must disclose any other employment or situation which may create a conflict of interest if your firm were to be selected, including any relationship that the firm or any of its employees may have with HDC. Please describe any such relationship in your proposal, or affirmatively state that no such relationship exists.

HDC will not pay any fees or commissions for the proposal requested in this RFP.

All resources required for implementation efforts must originate within the United States.

Appendix

1. Equal Employment

If any, provide a copy of the firm's most recent Employer Information Report EEO-1 and include as Attachment to the Proposal. Please state how many women and minorities work in your firm.

2. Minority and Women Owned Business Enterprise (MWBE)

HDC is dedicated to furthering the participation of minority and women-owned businesses in its work. All respondents are urged to include in their proposals methods for facilitating the participation in the project of businesses that have been certified by the New York City Department of Small Business Services ("SBS") as women or minority owned. This can take any form a Respondent considers appropriate including, but not limited to, proposals intended to ensure the utilization of certified minority and women-owned businesses as subcontractors or as joint-venture partners. In addition, proposals from minority and women-owned respondents are encouraged.

3. New York City Location

a) State whether the firm maintains its headquarters, or other offices, in New York City, and the number of the firm's employees who are employed in New York City. Describe the firm's commitment to its location in New York City. Since January 1, 2017, has the firm relocated any employees from offices in New York City to locations outside New York City? Does the firm have any plans to relocate any employees or offices outside of New York City in the next two years?

b) Describe the firm's corporate citizenship and commitment to the City of New York, including local procurement of goods and services, development or participation in internship programs or scholarships, corporate philanthropy, specifically in the areas of housing and community development, and policies with regards to the use of women-owned, minority owned and small business enterprises.

4. Local Law 34 Compliance

Pursuant to Local Law 34 of 2007, amending the City's Campaign Finance Law, the City is required to establish a computerized database containing the names of any "Person" that has business dealings with the "City" as such terms are defined in the Local Law. In order for the City to obtain necessary information to establish the required database, your response to this RFP is required to include a completed Doing Business Data Form (the "Data Form"), which is attached hereto. The Data Form will be submitted to the Mayor's Office of the City of New York (the "City"). If the City determines that your Data Form is not complete, you will be notified by the City and given four (4) calendar days to cure the specified deficiencies. Failure to do so will result in your proposal being deemed incomplete and therefore non-responsive.

To be completed by the City agency prior to distribution Agency _____ Transaction ID _____

Check One

Transaction Type (check one)

- Proposal Award Concession Economic Development Agreement Franchise Grant Pension Investment Contract Contract

Any entity receiving, applying for or proposing on an award or agreement must complete a Doing Business Data Form (see Q&A sheet for more information). Please either type responses directly into this fillable form or print answers by hand in black ink, and be sure to fill out the certification box on the last page. **Submission of a complete and accurate form is required for a proposal to be considered responsive or for any entity to receive an award or enter into an agreement.**

This Data Form requires information to be provided on principal officers, owners and senior managers. The name, employer and title of each person identified on the Data Form will be included in a public database of people who do business with the City of New York, as will the organizations that own 10% or more of the entity. No other information reported on this form will be disclosed to the public. **This Data Form is not related to the City's PASSPort registration or VENDEX requirements.**

Please return the completed Data Form to the City office that supplied it. Please contact the Doing Business Accountability Project at DoingBusiness@mocs.nyc.gov or 212-788-8104 with any questions regarding this Data Form. Thank you for your cooperation.

Entity Information

If you are completing this form by hand, please print clearly.

Entity EIN/TIN _____ Entity Name _____

Filing Status

(Select One)

NEW: Data Forms submitted now must include the listing of **organizations**, as well as individuals, with 10% or more ownership of the entity. Until such certification of ownership is submitted through a change, new or update form, a no change form will not be accepted.

- Entity has never completed a Doing Business Data Form. Fill out the entire form.
 Change from previous Data Form dated _____. Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.
 No Change from previous Data Form dated _____. Skip to the bottom of the last page.

Entity is a Non-Profit Yes No

Entity Type Corporation (any type) Joint Venture LLC Partnership (any type) Sole Proprietor Other (specify) _____

Address _____

City _____ State _____ Zip _____

Phone _____ E-mail _____

Provide your e-mail address in order to receive notices regarding this form by e-mail.

Principal Officers

Please fill in the required identification information for each officer listed below. If the entity has no such officer or its equivalent, please check "This position does not exist." If the entity is filing a Change Form and the person listed is replacing someone who was previously disclosed, please check "This person replaced..." and fill in the name of the person being replaced so his/her name can be removed from the *Doing Business Database*, and indicate the date that the change became effective.

Chief Executive Officer (CEO) or equivalent officer

This position does not exist

The highest ranking officer or manager, such as the President, Executive Director, Sole Proprietor or Chairperson of the Board.

First Name _____ MI _____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

This person replaced former CEO _____ on date _____

Chief Financial Officer (CFO) or equivalent officer

This position does not exist

The highest ranking financial officer, such as the Treasurer, Comptroller, Financial Director or VP for Finance.

First Name _____ MI _____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

This person replaced former CFO _____ on date _____

Chief Operating Officer (COO) or equivalent officer

This position does not exist

The highest ranking operational officer, such as the Chief Planning Officer, Director of Operations or VP for Operations.

First Name _____ MI _____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

This person replaced former COO _____ on date _____

Principal Owners

Please fill in the required identification information for all individuals or organizations that, through stock shares, partnership agreements or other means, **own or control 10% or more of the entity**. If no individual or organization owners exist, please check the appropriate box to indicate why and skip to the **Senior Managers** section. If the entity is owned by other companies that control 10% or more of the entity, those companies must be listed. If an owner was identified on the previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list any individuals or organizations that are no longer owners at the bottom of this section. If more space is needed, attach additional pages labeled "Additional Owners."

There are no owners listed because (select one):

- The entity is not-for-profit
- The entity is an individual
- No individual or organization owns 10% or more of the entity

Other (explain) _____

Individual Owners (who own or control 10% or more of the entity)

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

Organization Owners (that own or control 10% or more of the entity)

Organization Name _____

Organization Name _____

Organization Name _____

Remove the following previously-reported Principal Owners

Name _____ Removal Date _____

Name _____ Removal Date _____

Name _____ Removal Date _____

Senior Managers

Please fill in the required identification information for all senior managers who oversee any of the entity's relevant transactions with the City (e.g., contract managers if this form is for a contract award/proposal, grant managers if for a grant, etc.). Senior managers include anyone who, either by title or duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any transaction with the City. At least one senior manager must be listed, or the Data Form will be considered incomplete. If a senior manager has been identified on a previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list individuals who are no longer senior managers at the bottom of this section. If more space is needed, attach additional pages labeled "Additional Senior Managers."

Senior Managers

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

Remove the following previously-reported Senior Managers

Name _____ removal date _____

Name _____ removal date _____

Certification

I certify that the information submitted on these two pages and _____ additional pages is accurate and complete. I understand that willful or fraudulent submission of a materially false statement may result in the entity being found non-responsible and therefore denied future City awards.

Name _____ Title _____

Entity Name _____ Work Phone # _____

Signature _____ Date _____