



Request for Proposals Compliance Management System and Quality Assurance Programs

INTRODUCTION

Through this Request for Proposals (“RFP”), Rhode Island Housing and Mortgage Finance Corporation (“RIHousing”) seeks proposals from qualified firms to design and implement an agency-wide comprehensive Compliance Management System (“CMS”) Program and a Quality Assurance Program. Firms may choose to bid on one or both of these programs.

INSTRUCTIONS

One (1) original(s) and four (4) copies of the proposal should be submitted to RIHousing, 44 Washington Street, Providence, Rhode Island 02903-1721, Attn: Deborah Mancini, Senior Manager Quality Control. Please also direct a courtesy copy by email to: dmancini@rihousing.com. Proposals should be concise and include all attachments and work samples. Proposals should be presented on business letterhead, signed by a principal of your firm and indicating which service or services that the firm is interested in being considered to perform (CMS Program and/or Quality Assurance Program).

Proposals must be received no later than 5:00 EST p.m. on Monday, January 15, 2018.

Respondents are advised that all submissions (including those not selected for engagement) may be made available to the public on request upon completion of the process and award of a contract(s).

SCOPE OF WORK

Please see the Scope of Work provided at Attachment A.

ITEMS TO BE INCLUDED WITH YOUR PROPOSAL

- A. General Firm Information
 - 1. Provide a brief description of your firm, including but not limited to the following:
 - a. Name of the principal(s) of the firm.
 - b. Name, telephone number and email address of a representative of the firm authorized to discuss your proposal.
 - c. Address of all offices of the firm.
 - d. Number of employees of the firm.

B. Experience and Resources

1. Describe your firm and its capabilities. In particular, support your capacity to perform the Scope of Work.
2. Indicate which principals and associates from your firm would be involved in providing services to RIHousing. Provide appropriate background information including related experience for each such person and identify his or her responsibilities in the implementation of the Scope of Work.
3. Please include a current client roster, project description and include a lead contact name and telephone number for each client.
4. Please provide a detailed list of references, including a contact name and telephone number for organizations or businesses for whom you have performed similar work.
5. Identify any conflict of interest that may arise as a result of business activities or ventures by your firm and associates of your firm, employees, or subcontractors as a result of any individual's status as a member of the board of directors of any organization likely to interact with RIHousing.
6. Identify any material litigation, administrative proceedings or investigations in which your firm is currently involved. Identify any material litigation, administrative proceedings or investigations, to which your firm or any of its principals, partners, associates, subcontractors or support staff was a party, that has been settled within the past two (2) years.
7. Describe how your firm will handle actual and or potential conflicts of interest.

C. Work Plan and Schedule/Time Frame

A detailed Work Plan and associated schedule and time frame for completion of Tasks as described in Exhibit "A", Scope of Work. The Work Plan should identify the principal(s) or associate(s) anticipated to perform each Task. Proposal may include alternative approaches to the Work Plan, including any alternate time frames and associated cost estimates.

D. Fee Structure

The cost of services is one of the factors that will be considered in awarding this contract. The information requested in this section is required to support the reasonableness of your fees.

1. Please provide a cost proposal for providing the Scope of Work at Attachment A. Describe your proposed fee structure for this engagement. Please be as specific as possible.
2. Provide an itemized breakdown of billing rates and hourly costs, list of key personnel and their hourly rates, reimbursable expenses, etc. for any services that may be requested in addition to the services previously described. Provide a breakdown of each cost for each specific activity/task set forth in your proposed work plan.
3. Please provide any other fee information applicable to the engagement that has not been previously covered that you wish to bring to the attention of RIHousing.

E. Miscellaneous

1. RIHousing encourages the participation of persons of color, women, persons with disabilities and members of other federally and State-protected classes. Describe your firm's affirmative action program and activities. Include the number and percentage of members of federally and State-protected classes who are either principals or senior managers in your firm, the number and percentage of members of federally and State-protected classes in your firm who will work on RIHousing's engagement. If applicable, include a copy of your Minority- or Women-Owned Business Enterprise state certification.
2. If available, please provide evidence of security controls and procedures to protect data provided to the firm in connection with performance of the Scope of Work. This evidence can be in the form of a Security Plan or company protocols of the handling of Personal Information.
3. Discuss any topics not covered in this Request for Proposals that you would like to bring to RIHousing's attention.

F. Certifications

1. RIHousing insists upon full compliance with Chapter 27 of Title 17 of the Rhode Island General Laws, Reporting of Political Contributions by State Vendors. This law requires State Vendors entering into contracts to provide services to an agency such as RIHousing, for the aggregate sum of \$5,000 or more, to file an affidavit with the State Board of Elections concerning reportable political contributions. The affidavit must state whether the State Vendor (and any related parties as defined in the law) has, within 24 months preceding the date of the contract, contributed an aggregate amount in excess of \$250 within a calendar year to any general officer, any candidate for general office, or any political party.

2. Does any Rhode Island “Major State Decision-maker,” as defined below, or the spouse or dependent child of such person, hold (i) a ten percent or greater equity interest, or (ii) a Five Thousand Dollar or greater cash interest in this business?

For purposes of this question, “Major State Decision-maker” means:

(i) All general officers; and all executive or administrative head or heads of any state executive agency enumerated in § 42-6-1 as well as the executive or administrative head or heads of state quasi-public corporations, whether appointed or serving as an employee. The phrase “executive or administrative head or heads” shall include anyone serving in the positions of director, executive director, deputy director, assistant director, executive counsel or chief of staff;

(ii) All members of the general assembly and the executive or administrative head or heads of a state legislative agency, whether appointed or serving as an employee. The phrase “executive or administrative head or heads” shall include anyone serving in the positions of director, executive director, deputy director, assistant director, executive counsel or chief of staff;

(iii) All members of the state judiciary and all state magistrates and the executive or administrative head or heads of a state judicial agency, whether appointed or serving as an employee. The phrase “executive or administrative head or heads” shall include anyone serving in the positions of director, executive director, deputy director, assistant director, executive counsel, chief of staff or state court administrator.

If your answer is “Yes,” please identify the Major State Decision-maker, specify the nature of their ownership interest, and provide a copy of the annual financial disclosure required to be filed with the Rhode Island Ethics Commission pursuant to R.I.G.L. §§36-14-16, 17 and 18.

3. In the course of providing goods or services to RIHousing, the selected respondent may receive certain personal information specific to RIHousing customer(s) including, without limitation, customer names and addresses, telephone numbers, email addresses, dates of birth, loan numbers, account numbers, social security numbers, driver’s license or identification card numbers, employment and income information, photographic likenesses, tax returns, or other personal or financial information (hereinafter collectively referred to as the “Personal Information”). The maintenance of the Personal Information in strict confidence and the confinement of its use to RIHousing are of vital importance to RIHousing. Please include a letter from your president, chairman, CEO or their designee certifying that, in the event your firm is selected:

(i) any Personal Information disclosed to your firm by RIHousing or which your firm acquires as a result of its services hereunder will be regarded by your firm as confidential, and shall not be copied or disclosed to any third party, unless RIHousing has given its prior written consent thereto; and

(ii) your firm agrees to take all reasonable measures to (a) ensure the security and confidentiality of the Personal Information, (b) protect against any anticipated threats or hazards to the security or integrity of the Personal Information, and (c) maintain reasonable security procedures and practices appropriate to your firm's size, the nature of the Personal Information, and the purpose for which the Personal Information was collected in order to protect the Personal Information from unauthorized access, use, modification, destruction or disclosure; and

(iii) when discarding the Personal Information, destroying it in a commercially reasonable manner such that no third party can view or recreate the information, electronically or otherwise.

These provisions, which implement the requirements of the Rhode Island Identity Theft Protection Act, R.I.G.L. § 11-49.2 et seq., will also be incorporated into the final contract with the selected respondent(s).

4. Please include a letter from your president, chairman, CEO or their designee certifying that (i) no member of your firm has made inquiries or contacts with respect to this Request for Proposals other than in an email or written communication to Deborah Mancini at dmancini@rihousing.com seeking clarification on the Scope of Work set forth in this proposal, from the date of this RFP through the date of your proposal, (ii) no member of your firm will make any such inquiry or contact until after January 15, 2018, (iii) all information in your proposal is true and correct to the best of her/his knowledge, (iv) no member of your firm gave anything of monetary value or promise of future employment to a RIHousing employee or Commissioner, or a relative of the same, based on any understanding that such person's action or judgment will be influenced and (v) your firm is in full compliance with Chapter 27 of Title 17 of the Rhode Island General Laws, Reporting of Political Contributions by State Vendors.

EVALUATION AND SELECTION

A selection committee consisting of RIHousing staff (the “Committee”) will review proposals. This selection committee will review all proposals meeting the minimum requirements of this RFP and select finalists. The selection committee may invite one or more finalists to make presentations. Cost, while an important consideration, is not the determining factor in the evaluation and selection. Proposals will be evaluated by the selection committee on a variety of factors including:

- Professional capacity to undertake the Scope of Work
- Proposed fee structure, schedule and terms
- Ability to perform within time and budget constraints
- Evaluation of Work Plan(s)
- Previous work experience and performance with RIHousing and/or similar organizations
- Recommendations by references
- Firm minority status and affirmative action program or activities
- Other pertinent information submitted.

Following presentations, if any, the Committee will make recommendations for engagement to the full Board of Commissioners. The Board of Commissioners is responsible for final selection. In its sole discretion, RIHousing may negotiate with one or more firms who have submitted qualifications to submit more detailed proposals on specific projects as they arise.

By this Request for Proposals, RIHousing has not committed itself to undertake the work set forth. RIHousing reserves the right to reject any and all proposals, to rebid the original or amended scope of services and to enter into negotiations with one or more respondents. RIHousing reserves the right to make those decisions after receipt of responses. RIHousing’s decision on these matters is final.

For additional information contact: Deborah Mancini at dmancini@rihousing.com.

Attachment A

Scope of Work

RIHousing seeks to engage a qualified firm(s) to design and implement an agency-wide comprehensive CMS Program and/or Quality Assurance Program. A firm may submit a proposal to provide one or both of these services to RIHousing.

RIHousing is a public corporation and instrumentality of the State of Rhode Island, organized pursuant to chapter 55 of title 42 of the Rhode Island General Laws. RIHousing is the state's leading resource for housing needs. RIHousing works to ensure that all people who live and work in Rhode Island can afford a healthy, attractive home. The agency is comprised of multiple business units (Homeownership, Real-Estate Development, Loan Servicing and Leased Housing and Rental Services) that provide a range of services such as low-interest loans, grants, subsidies, education and assistance to help Rhode Islanders find, rent, buy, build and keep a good home. RIHousing is subject to a wide range of federal and state regulations, including, but not limited to, Consumer Finance Protection Bureau ("CFPB"), Fannie Mae, Freddie Mac, FHA, the U.S. Department of Housing and Urban Development ("HUD") and the U.S. Department of the Treasury ("Treasury").

The selected firm(s) will be responsible for designing and implementing RIHousing's Compliance Management and/or Quality Assurance Programs. The selected firm(s) will (i) assist RIHousing in developing standards of conduct and internal controls, (ii) review current policies and procedures for all business units and departments (including Finance, Human Resources, Building Facilities and IT), (iii) perform a risk assessment of the agency and (iv) provide any recommendations and best practices for the implementation of a comprehensive CMS Program and/or Quality Assurance Program. Tasks that the selected firms(s) will be responsible for performing will include, but not limited to:

Assessment of Current CMS and/or Quality Assurance Programs

1. Perform an inventory and assessment to determine the current status of the CMS and/or Quality Assurance Programs.
2. Create an inventory of current compliance monitoring and quality assurance tasks, including responsibility and frequency.
3. Review current agency policies and procedures, compliance documents, forms and any other applicable documents.
4. Conduct interviews with management, staff and other key stakeholders to understand requirements for each business unit, and applicable federal and state programs.
5. Conduct interviews with executive staff, senior management, and other key stakeholders to determine program governance.

Perform Risk Assessment

1. Review the processes and system platforms to identify alignment with business objectives and applicable regulations to address inherent risks.
2. Create a compliance matrix mapping regulatory compliance requirements to applicable business units and programs.
3. Draft compliance risk assessments that address regulatory requirements and standards.
4. Conduct a work flow analysis to identify areas of business and compliance risk through the life cycle of a product by interviewing key operational employees and reviewing the agency's procedures, processes and systems.
5. Perform a gap analysis of current compliance and quality assurance activities and documentation to those required under any approved CMS Program and/or Quality Assurance Program plans.
6. Create a prioritization of identified gaps in the current compliance and quality assurance activities based on a risk assessment, and a project plan to address gaps based on the agreed upon prioritization.
7. Manage implementation tasks within the plan(s) and make RIHousing aware of risks related to the timely and successful completion of deliverables.

CMS Program and/or Quality Assurance Program Development and Approval

1. Create draft CMS Program and/or Quality Assurance Program plan(s) that build supervisory framework at a high level, and memorialize the central oversight of policies and procedures including, but, not limited to the documentation of roles, responsibilities and accountability.
2. Present the draft CMS Program and/or Quality Assurance Program plan(s) to executive staff and stakeholders.
3. Obtain and incorporate feedback from executive staff and stakeholders on the draft CMS Program and/or Quality Assurance Program plans.
4. Present finalized CMS Program and/or Quality Assurance Program plan(s) to executive staff and stakeholders.
5. Provide timeline for implementation of CMS Program and/or Quality Assurance Program plan(s), including detailed steps to take prior to, during and after implementation to ensure success and identification of areas for immediate improvement.
6. Participate in regularly scheduled meetings, produce meeting minutes and respond promptly to inquiries and calls from RIHousing.
7. Provide recommendations for strengthening oversight activities.
8. Provide recommendations for on-going training, including educational and/or certification requirements.