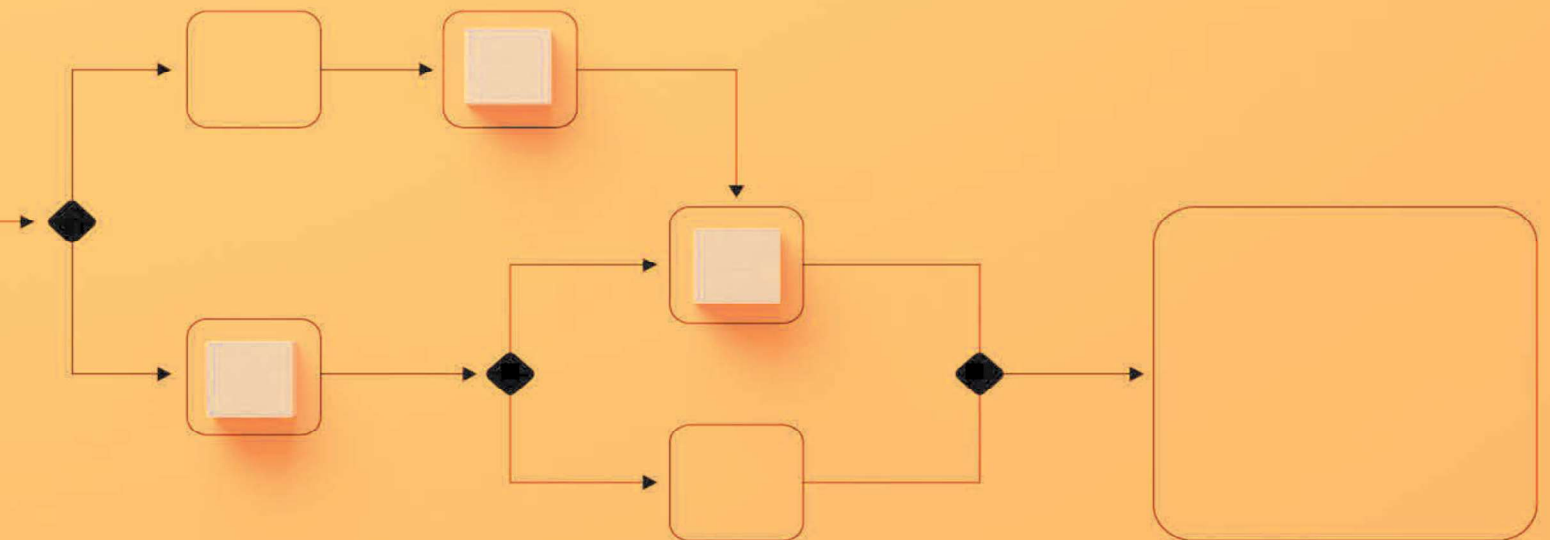


# A Proposal for New York City Housing Development Corporation Homeless Housing Placements Evaluation

February 22 2023



## Table of Contents

<b>Letter of Interest</b> .....	<b>3</b>
<b>Project Understanding and Approach</b> .....	<b>5</b>
<b>Team Description</b> .....	<b>7</b>
Engagement Staff.....	7
<b>Example Case Studies</b> .....	<b>8</b>
Case Study # 1 — City of New York Mayor's Office of Contract Services (MOCS) Construction Change Order Process Improvement .....	8
Case Study # 2 — San Francisco Department of Homelessness and Supportive Housing (SF HSH) ONE System Strategic Planning.....	11
Case Study # 3 — Washington State Department of Children Youth and Families (DCYF) Comprehensive Child Welfare Information System (CCWIS) .....	15
Case Study # 4 — City of New York Department of Social Services Fair Fares Program Development and Strategic Support .....	17
<b>Proposed Project Plan</b> .....	<b>20</b>
<b>Proposed Budget</b> .....	<b>21</b>
<b>Assumptions</b> .....	<b>21</b>
<b>Changes to Scope</b> .....	<b>23</b>
<b>Administrative Proposal Requirements</b> .....	<b>25</b>
Equal Employment .....	25
Minority and Women Owned Business Enterprise (MWBE).....	25
New York City Location .....	25
Local Law 34 Compliance .....	25
<b>Appendix – Resumes</b> .....	<b>26</b>
<b>Appendix – Engagement Letter/Contract</b> .....	<b>37</b>
<b>Appendix – EEO</b> .....	<b>42</b>
<b>Appendix – Doing Business Data Form</b> .....	<b>43</b>

## Letter of Interest

22 February 2023

Alex Merchant  
Director of Process Improvement for Housing Placements  
New York City Housing Development Corporation  
110 William Street  
New York, NY 10038

Re: Homeless Housing Placement Evaluation

Dear Mr. Merchant:

Gartner is proud to propose our services for the New York City Housing Development Corporation (HDC) request for a consulting engagement to conduct a 90-day process analysis to evaluate homeless housing placements in HDC and Department of Housing Preservation and Development (HPD) financed and supported housing and in order to make recommendations to significantly reduce processing time and administrative burden.

Gartner has significant expertise and experience in analyzing and assessing government operational process to drive efficiency and process improvements. We have conducted many similar exercises with New York City agencies and with human services agencies nationwide and we believe we are the right choice for this work with HDC.

We understand the challenge of bringing together stakeholders from multiple City agencies to understand expectations, requirements and what needs to be done. This requires putting the singular focus on the needs of clients to improve overall outcomes. Creating clarity where there is confusion and identifying ways to streamline operations, adopting new agile technologies for data collection, sharing and processes are Gartner's hallmarks and we look forward to being able to create a valuable and impactful set of recommendations for HDC and its partners. We understand this is a vital link in the chain of driving homelessness down and supporting clients to live independent and secure lives in future.

Gartner knows that no problem in government can be resolved by technology alone. It requires a holistic viewpoint that addresses the people and operational process elements of policies and their execution. Our team brings experience in this broad-based approach to solving complex public policy problems in New York City and beyond.

We recognize the importance of creating consensus and momentum around policy and operational changes and we believe our tools, team and recommendations will provide HDC with a valuable path forward to drive enhanced outcomes for homeless clients hoping to establish themselves in permanent housing.

Please contact me at +1 267 970-9175 or via email at [anthony.hollingworth@gartner.com](mailto:anthony.hollingworth@gartner.com) if you have any questions. We thank you for this opportunity and look forward to assisting the Corporation with this most critical initiative.

Sincerely,

A handwritten signature in blue ink, appearing to read "A. Hollingworth", is centered on the page. The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Anthony Hollingworth  
Senior Managing Partner, Gartner Consulting

## Project Understanding and Approach

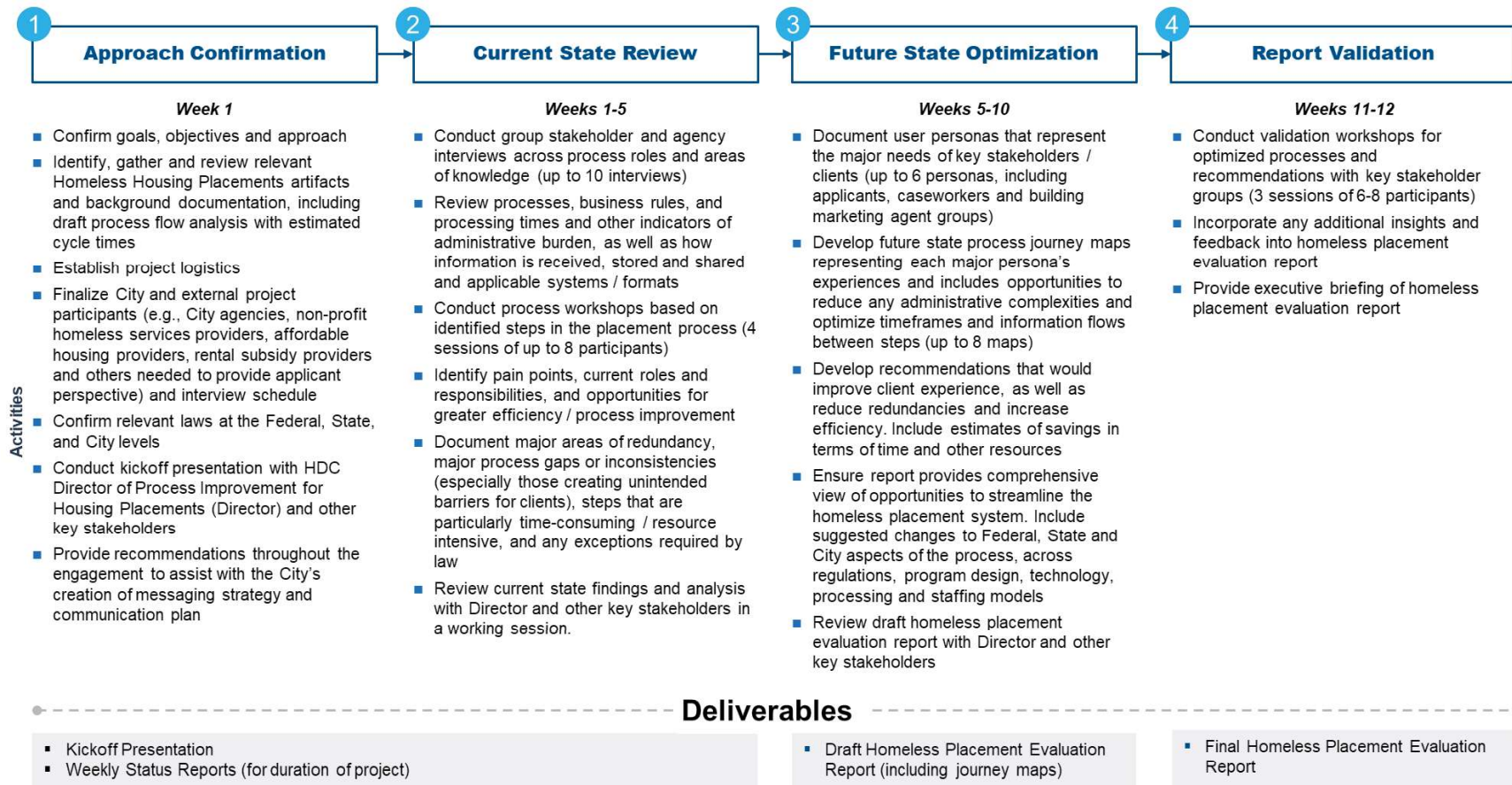
Gartner's Health and Human Services (HHS) team supports human and social services organizations across the nation. **Our team has specific expertise in critical priorities such as integrated person-centered case management, using technology to empower HHS clients, and increasing efficiency and access to care and services using the latest technologies and operational models while working with special and vulnerable client populations.** Gartner delivers hundreds of strategic consulting engagements that analyze our client current state, create new and innovative approaches for their future state, as well as provide detailed implementation planning and support for our clients each year.

Gartner recognizes the complexity of managing housing placements given the need for multiple agencies to work together and the diversity of needs of the populations requiring housing support. **Gartner understands that effectively optimizing the homeless placement process involves much more than simply documenting the process steps.** It will take digging into the objectives, requirements, and details of the steps; it requires a clear understanding of the parties involved throughout the process (such as applicants, caseworkers and building marketing agents) and their needs, how information is exchanged, and any technology used.

The approach Gartner designed for this engagement — described in more detail on the next page — is informed by our extensive experience working with the City to address other needs, our engagements with other public sector agencies (including related to homelessness) and Gartner Research. **Our extensive Gartner Research on customer experience improvement indicates that having more than one journey map is needed to ensure that expectations are fully met.** The development of these maps must involve not only the known insights into the customers and associated processes, but also filling in any gaps in that understanding. See, for example, "Where to Find Data to Inform Customer Experience Personas and Journey Maps," 30 January 2023 (G00783090).

**Our approach balances data collection with process optimization and anticipates ongoing reviews of in-progress deliverable content to ensure that progress is aligned with City expectations throughout the engagement.** The first two tasks, in weeks 1-5, focus on validating the approach to ensure there is a shared understanding of the tasks and outcomes and then gaining a thorough understanding of the current process and participants to identify opportunities for process changes that will meet City objectives while remaining consistent with non-City participant needs.

Half the engagement, task 3 in weeks 5-10, ensures that process optimization decisions are aligned with City objectives and requirements, as well as project participant needs. **User persona development ensures pain points, needs, etc. are well understood for 6 key stakeholder groups;** this would include at least applicants / residents, caseworkers and building marketing agent groups / building owners. These needs are taken into consideration as **journey maps are used to identify how the proposed, optimized process would be experienced by in 8 group / scenario pairings.** The way information is exchanged is mapped and expected time frames are included to ensure the journey maps are oriented toward implementation. **Recommendations are then developed into a report regarding both current state gaps that create unintended barriers / burdens for clients and how to make the future state a reality,** including suggested changes to Federal, State and City aspects of the process, across regulations, program design, technology, processing, and staffing models. The final task, task 4, involves two weeks of validating and updating the report with feedback.






Please see the Proposed Project Plan section later for a visual representation of engagement timing, including deliverables, weekly status meetings and other, specific client reviews.



## Team Description

### Engagement Staff

Gartner’s proposed team has extensive experience in business process analysis especially in the public sector and New York City Government. Our team also includes expertise from our Health and Human Services practice to provide the best mix of experience and skills for HDC. Please see Appendix for resumes.

Individual, Role & Experience	Team Member Experience
 <p><b>Charlotte Hasse</b>                      Engagement Manager</p> <p>13 Yrs. of Advisory Experience, 10 in Public Sector</p>	<p>Charlotte Hasse is a former state government legislative and technology contract attorney with 10 years of experience advising state and local governments on the strategy and implementation of critical initiatives. Much of her focus has been in health, human services, and government operations including local and multi-agency initiatives and has centered on using data and analytics to evaluate opportunities and performance improvement. Ms. Hasse is experienced in supporting senior leaders through strategic planning, identifying IT and business governance improvements, and evaluating organizational models and capacity against initiatives designed to achieve public agency objectives. She also has led a variety of process development and improvement efforts, including journey map development to help define new approaches to City Construction Change Order Requests. Ms. Hasse currently manages projects to optimize enterprise project management and support procurement of a solution enabling essential regulatory processes.</p> <p><b>Public Policy Areas:</b> Education, Health Care, Human Services, IT Management, Government Operations, Local Government, Public Finance, Transportation, Transparency, Digital Service Delivery, Data Management &amp; Analytics.</p>
 <p><b>Carla Pascual</b>                      Project Consultant</p> <p>8 Yrs. of Advisory Experience, 6 in Public Sector</p>	<p>Carla Pascual brings over eight years of experience in the telecom and public sector industries. Ms. Pascual’s areas of expertise include business analysis, future state design, customer and market segmentation, strategy, and competitive analysis. Ms. Pascual’s recent experience includes supporting the strategic development of a social services agency program, including analyzing the organization’s operating model to identify future capabilities and a product management approach to support successful implementation, as well as leading communications and messaging for relevant customer journeys. Ms. Pascual also recently supported the assessment of a government agency’s digital technologies and making recommendations to build their strategy and mature internal capabilities.</p> <p><b>Public Policy Areas:</b> Human Services, IT Management, Government Operations, Local Government.</p>
 <p><b>Erika Chahil</b>                      HHS Subject Matter Expert</p>	<p>Erika Chahil is a Senior Managing Partner with Gartner Consulting where she leads the Gartner Public Sector Health &amp; Human Services (HHS) industry. She has more than 25 years of industry and government experience spanning public health, Medicaid, economic assistance, and social services programs. She specializes in helping HHS organizations improve operations and outcomes. Ms. Chahil has extensive experience in leading business transformation and modernization efforts, and expertise in strategic planning, business capability modeling, acquisition support, portfolio management, performance management and IT optimization.</p> <p><b>Public Policy Areas:</b> Health Care, Human Services, IT Management, Government Operations, Local Government, Mental Hygiene, Transparency, Digital Service Delivery</p>

Individual, Role & Experience	Team Member Experience
22 Yrs. of Advisory Experience, 15 in Public Sector HHS	
 <p><b>Anthony Hollingworth</b> Engagement Partner</p> <p>21 Yrs. of Advisory Experience, 19 in Public Sector</p>	<p>Anthony Hollingworth's expertise is in the strategic planning, development, implementation, design, and management of public sector operations with a particular emphasis on the Health and Human Services sector. Mr. Hollingworth has focused on the translation of policy and strategy objectives into action by building operational systems, processes, and teams that are guided by digital tools, data and analytics and effective procurement processes. Enhancing the effectiveness and equity of government services is a consistent theme throughout Mr. Hollingworth's professional career and client engagements.</p> <p><b>Public Policy Areas:</b> Criminal Justice, Economic Development, Energy, Environment, Health Care, Human Services, IT Management, Government Operations, Local Government, Mental Hygiene, Not-for-Profit, Public Finance, Public Safety, Transportation, Transparency, Digital Service Delivery, Data Management &amp; Analytics.</p>

## Example Case Studies

### Case Study # 1 — City of New York Mayor's Office of Contract Services (MOCS) Construction Change Order Process Improvement

#### Project Details

**City of New York Mayor's Office of Contract Services — PASSPort Strategy Implementation Support and Planning, Construction Change Orders**  
May-August 2018



MOCS oversees the development and operation of PASSPort, the digital procurement platform for the City of New York. It covers every stage (such as sourcing goods and services, contract award development, contract registration and contract management throughout its lifecycle).

#### Client Need and Gartner Approach

MOCS planned to add functionality to PASSPort to better support the construction change order process, which is particularly complicated based on the diversity of users and the varied ways in which change orders can arise and the associated process implications. MOCS engaged Gartner to create a vision for functional pre-design that incorporated the needs of the future users in ways that also satisfied legal requirements, increased efficiency, simplified approvals, increased transparency, and reduced cycle time and costs.

Gartner used an approach consisting of the following steps:



## City of New York Mayor's Office of Contract Services — PASSPort Strategy Implementation Support and Planning, Construction Change Orders May-August 2018

- **Discovery:** Developed and documented a comprehensive understanding of the current state process in general and for specific customer groups, including by reviewing documentation on previous improvement efforts and by using stakeholder interviews to identify inefficiencies and significant pain points and improvement opportunities
- **Target State Vision:** Created personas, customer journey maps and future-state process flows to showcase the needs for specific customer roles and associated process and experience improvements, and then validated the materials through stakeholder workshops. Used Gartner Research to add insights on best practices and the fit of the vision against the capabilities and vendor roadmap of the chosen technology solution.
- **Target State Recommendations:** Contextualized the final materials by identifying the most critical elements of the future-state process and business and policy decisions needed to implement them and other recommendations



### Project Impact

- Established high-level design objectives so the future system will deliver on the essential needs and goals of customers and the City. Pre-design process also identified areas of focus and potential challenges for design.
- Personas and customer journey maps identified, and provided the basis for pursuing, aspects of the future-state process that would be more challenging (i.e., would require noted business, policy or legal changes to implement them) but would result in more significant improvements for the customers and the City.
- A future-state process crafted to enable diverse customer needs and city goals to be met, implement best practices within the system's capabilities and avoid implementation pitfalls experienced by previous efforts by the City

## Example Deliverable Content

Figure 1. Example Current State Findings

### The Current State Analysis Illuminated 8 Key Findings...which will Inform the Future State Experience



Figure 2. Example Persona

"Ultimately, I just want to get the project done. I really want to do the right thing — but the whole process is daunting."

Field Officer with the Department of Transportation.

Organization DOT  
Role Field Officer

Preferred Work Communication Channels

Web
Mobile
Email
Chat
Text

### Nicky — Project Manager in Field Office

Key Finding Alignment: 1 2 4 5 6 7 8

**i** Nicky is a field officer with the Department of Transportation. They support the overall project management of capital projects, including relationships between designers and the vendor construction managers. When a construction vendor first discovers a change order, it will initiate the review process with Nicky. Nicky works with the vendor and other agency staff to determine the legitimacy of a change order and work through scope and price negotiations. They are not always sure what needs to be done and what happens next.

**👁️** **Current State "Pain Points" and Challenges**

- Vendors send potential change orders in different ways and formats. It's hard to keep track. Plus, it is not clear when I should start tracking change orders.
- The approval process takes forever with multiple agency and oversight reviews; can we streamline it? We have no idea where the change order is through this process, which makes updating the vendor difficult.
- We lack tools to manage our budget and contract status, in particular time extensions. For contracted construction managers, we need to track burn rates and verify work completed to manage those relationships.
- Price estimation is hard and negotiations go on so long we run out of funds and have to use time and materials.

**🔍** **Needs and Goals**

- Enhanced tracking of potential change orders so I can keep track of them all — from a consistent start date tracking point to transparency throughout the process.
- Streamline all the forms and offer clarity on when to involve other agency staff, information that is needed, and the correct format for submissions.
- Tools to support budget and contract management — and receive notifications when important budget thresholds and contract dates are approaching.

**Industry**

Low industry knowledge High industry knowledge

Technical Very technically savvy

**Process**

Low involvement in process High involvement in process

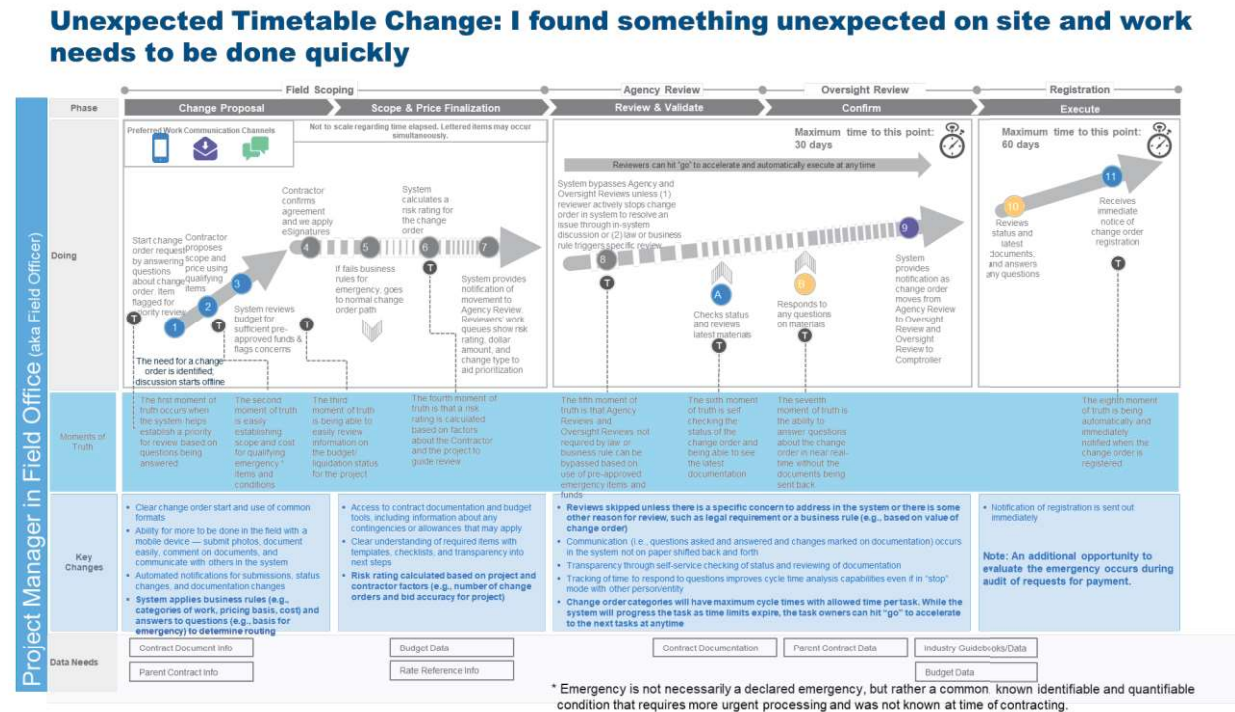
Low understanding of budget High understanding of budget

Low understanding of procurement High understanding of procurement

**My Wish List**

- Templates for vendor requests (i.e., change order requests and memos)
- Ability to manage work items and tasks stemming from incoming items
- Ability to ask questions of others and quickly see responses
- Ability to set change order priority and desired response times
- Templates for change order documentation
- Clear checklists for required items
- Upload supporting documentation
- Transparency into next steps and tracking through entire process
- Augmented contract management tools
- Notifications for important dates and budget thresholds

Figure 3. Example Journey Map



## Case Study # 2 — San Francisco Department of Homelessness and Supportive Housing (SF HSH) ONE System Strategic Planning

### Project Details

**San Francisco Department of Homelessness and Supportive Housing (SF HSH) ONE System Strategic Planning**  
 October 2018 – May 2019

As the SF Continuum of Care (CoC) lead agency, SF HSH utilizes a HUD-compliant Homeless Management Information System (HMIS) to coordinate the work of its Agency. The Online Navigation and Entry (ONE) System supports the Agency’s coordinated entry, street outreach, temporary shelter, problem solving, housing, and housing ladder activities.

### Client Need and Gartner Approach

SF HSH sought to use their HMIS system for more comprehensive management of the Agency’s work than is federally mandated to be completed within an HMIS system. SF HSH engaged Gartner to lead comprehensive documentation of their future state vision and requirements and an evaluation of whether their existing solution would be able to meet their needs.

Gartner used an approach consisting of the following phases:

## San Francisco Department of Homelessness and Supportive Housing (SF HSH) ONE System Strategic Planning

October 2018 – May 2019

- Phase 1: Project Health Check and Scope / Solution Analysis: Conducted stakeholder interviews, reviewed documentation, and completed other discovery activities to understand the Agency’s vision for the ONE System, to conduct a thorough “fit-for-purpose” health check evaluation of the current solution and the program surrounding it, solution and scope validation and a gap analysis, development of a revised governance model to support the future vision, and development of final recommendations.
- Phase 2: Requirements Validation: Facilitated workshops with agency and contracted service provider representatives to develop comprehensive future-state business processes, use cases, and requirements for the future state ONE System vision

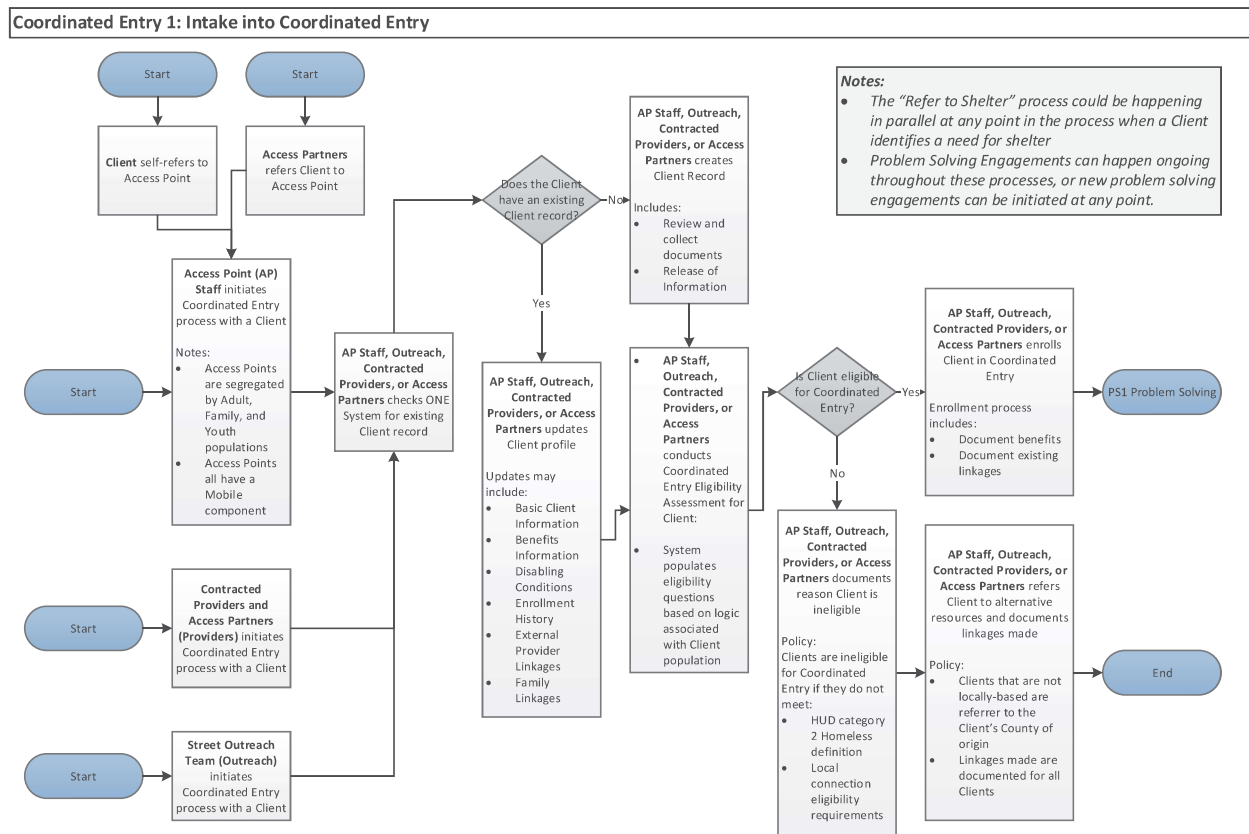


### Project Impact

- Determined the areas in which SF HSH required governance, resource, skills, contract, and other program management adjustments to successfully support the ONE System program.
- Identified the areas in which there were technical, business, strategy, and other areas of alignment or misalignment with the current HMIS vendor and provided recommendations on how to proceed.
- Documented a comprehensive set of future state business processes and requirements for the ONE system and used these documents to facilitate conversation with the ONE System vendor

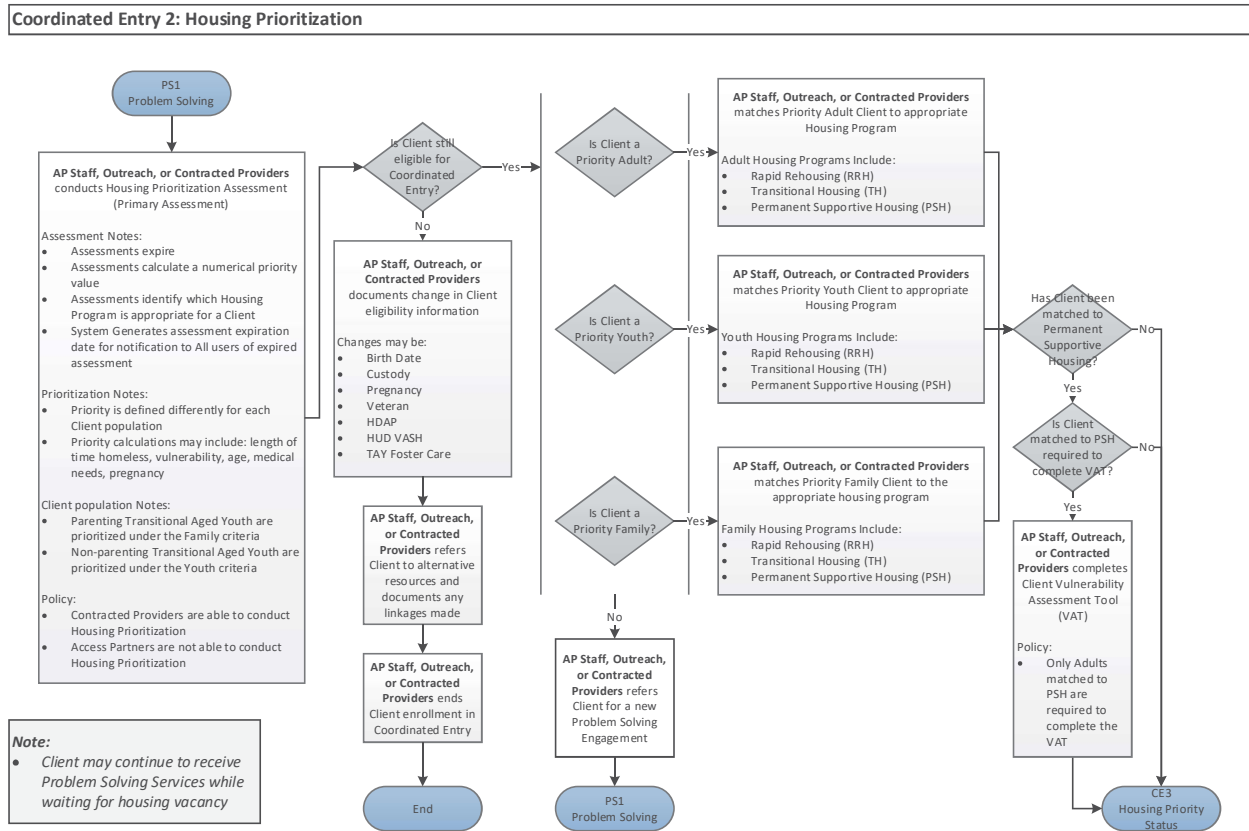
## Example Deliverable Content

Figure 4. Example Process Flow Map





**Figure 5. Example Process Flow Map**





## Case Study # 3 — Washington State Department of Children Youth and Families (DCYF) Comprehensive Child Welfare Information System (CCWIS)

### Project Details

#### Washington State Department of Children, Youth & Families (DCYF) – Comprehensive Child Welfare Information System (CCWIS) Planning Support Project September 2022-Present

DCYF utilized a legacy Child Welfare system to conduct the majority of Child Welfare work conducted by the State including intake and new case activities, placement and permanency activities, ongoing case management, service referral and service provider management, and case transitions and closure.

#### Client Need and Gartner Approach

DCYF utilized a legacy Child Welfare system that was out of compliance with the updated CCWIS regulations provided by the Administration for Children and Families (ACF), causing a significant loss in federal funding. The Child Welfare Agency engaged Gartner to lead a comprehensive planning engagement from visioning through requirements to procurement to enable the Agency's transition to a federally compliant CCWIS solution.

Gartner used an approach consisting of the following phases:

- Phase 1: Establish Strategic Context and Identify Requirements: Conducted stakeholder interviews, reviewed documentation, and completed other discovery activities to understand the Agency's current state and desired future state. Facilitated workshops utilizing a business capability model, personas, journey maps, business processes, and use cases to determine and document stakeholder experiences, pain points, and opportunities for improvement with the current system and processes
- Phase 2: Conduct Analysis and Feasibility Study: Identified alternatives available to the Agency and evaluated them against the Agency's specific goals, policies, and priorities. Facilitated the Agency's decision-making process with tools including a Cost-Benefit Analysis and Feasibility Assessment. along with the development of a Go Forward Roadmap for the Agency's chosen alternative
- Phase 3: Develop Procurement Strategy: Developed a strategy for the Agency to procure the desired CCWIS solution

#### Project Impact

- Established DCYF's vision, drivers, imperatives, and comprehensive requirements (functional, technology-related, data & reporting, implementation and performance) for the future CCWIS system including redesigned business processes to improve the experiences of both internal and external stakeholders.
- Developed a Go Forward Roadmap and procurement strategy for the alternative selected by DCYF to best meet their future state CCWIS system needs

## Example Deliverable Content

Figure 6. Example Journey Map (1 of 3)

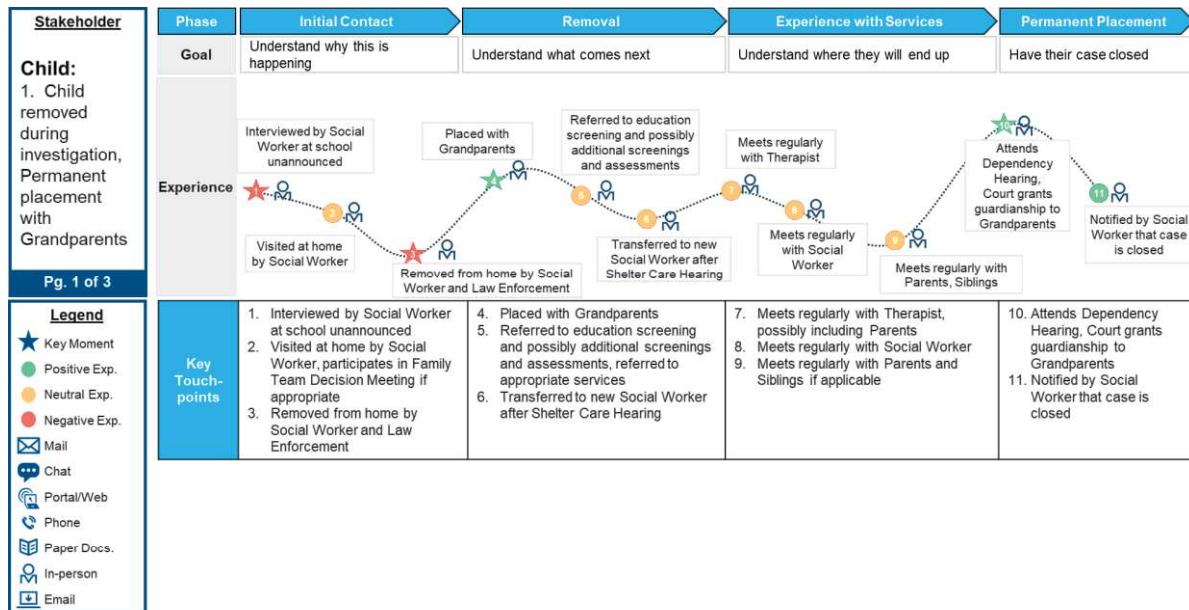
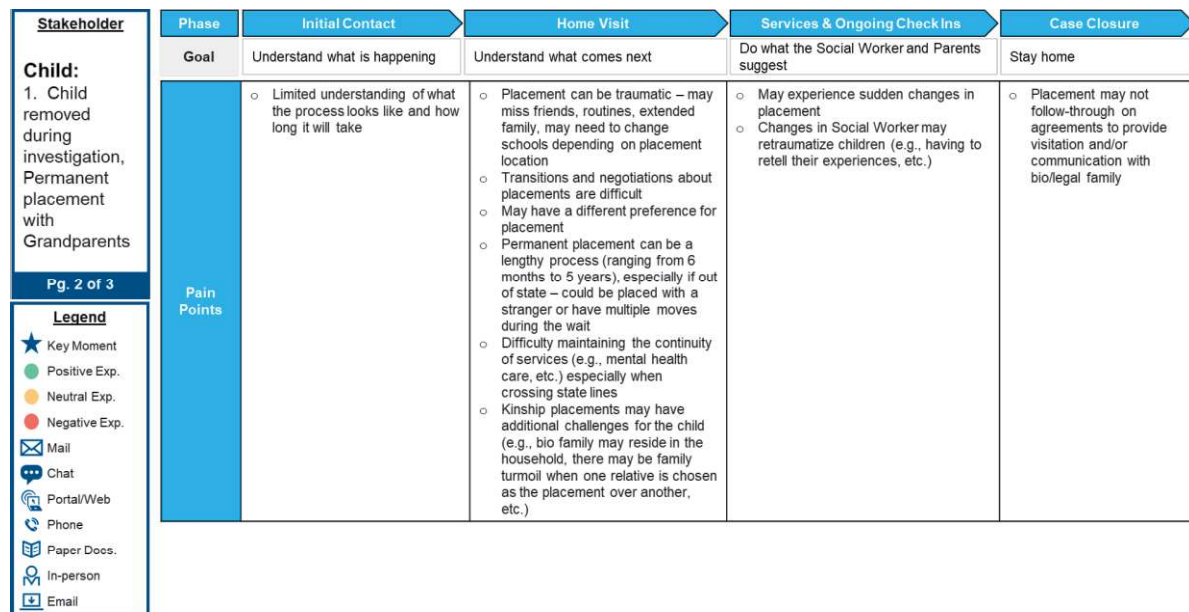


Figure 7. Example Journey Map (2 of 3)



**Figure 8. Example Journey Map (3 of 3)**

Stakeholder	Phase	Initial Contact	Home Visit	Services & Ongoing Check Ins	Case Closure
<b>Child:</b> 1. Child removed during investigation, Permanent placement with Grandparents Pg. 3 of 3 <b>Legend</b> ★ Key Moment ● Positive Exp. ● Neutral Exp. ● Negative Exp. ✉ Mail 💬 Chat 🌐 Portal/Web 📞 Phone 📄 Paper Docs. 👤 In-person ✉ Email	Goal	Understand what is happening	Understand what comes next	Do what the Social Worker and Parents suggest	Stay home
	Core Future-State Needs	<ul style="list-style-type: none"> <li>Establish clear expectations of the process, required steps, and timeframes</li> <li>System integration with the juvenile court to access information (e.g., existing parenting plans, court hearings/ schedules, pending charges, etc.)</li> <li>Ability to copy and edit notes across profiles</li> <li>Establish a separate profile for the individual child not as a part of a household or nested within a parent record</li> </ul>	<ul style="list-style-type: none"> <li>Case planning process should involve the placement and the child</li> <li>Access to information for mental health services</li> <li>Ability to match the child's behavioral health needs based on the assessment to the placement's capabilities</li> <li>Automatically populating the recommendations from the CHET exam</li> </ul>	<ul style="list-style-type: none"> <li>Ability to access tele-visits to maintain continuity of services</li> <li>Child's Portal including ability to capture information through weekly journals with specific prompts asking about their experience in their own voice/words and capture information on the frequency or quality of the services being received (e.g., counselor visits, family visits, etc.)</li> <li>Ability for content from Child's Portal to automatically populate in court reports</li> <li>Infrastructure for the child to communicate with siblings, extended family, providers, etc. and ability to automatically track these interactions</li> <li>Disclosures – multiple ways for a child to report something</li> </ul>	
Measurement		<ul style="list-style-type: none"> <li>Length of time to permanency</li> </ul>		<ul style="list-style-type: none"> <li>Child's medical, dental, social/emotional, and mental health needs are met at all times</li> </ul>	<ul style="list-style-type: none"> <li>Frequency and quality of kids' connections (federal measure)</li> <li>Stability of the placement</li> <li>Re-entry into foster care</li> <li>Recurrence of maltreatment</li> </ul>

## Case Study # 4 — City of New York Department of Social Services Fair Fares Program Development and Strategic Support

### Project Details

**City of New York Department of Social Services (DSS) — Fair Fares  
 May 2019-Present**



Fair Fares is a City of New York Program administered by the City's Department of Social Services (DSS). The program helps low-income City residents with their transportation costs by providing a 50% discount on subway and bus fares using a Fair Fares NYC MetroCard. There are currently over 270,000 New Yorkers enrolled in Fair Fares NYC.

**Client Need and Gartner Approach**

The initial launch of the NYC Fair Fares transportation discount program (the "Program") focused on residents who were already receiving certain other benefits. DSS then sought to significantly expand the transportation discount program to all residents meeting the program's eligibility requirements, involving changes to people, processes and technology within DSS.

Gartner worked closely with DSS to identify the capabilities needed to support the expanded Program in alignment with agency policies. Gartner also conducted a functional and operational analysis of the Program and its supporting technology to provide assurance that internal agency objectives and customer service goals would be met. Gartner has provided ongoing planning and

## City of New York Department of Social Services (DSS) — Fair Fares May 2019-Present

strategic implementation support across multiple phases of the program, including the addition of renewals and the planning associated with public transportation system's future move to OMNY.

Gartner worked closely with DSS to validate objectives and relevant policies and then to define the processes for initial and renewal applications, eligibility determination, eligibility maintenance / customer service and more. These were then translated into user stories and process maps to help the development team understand needs and ongoing support was provided as questions arose during design, testing and transition to production. Gartner also developed ongoing recommendations associated with proactively identified risks and issues and with additional enhancements that might be needed as Program needs and objectives changed over time.

Additional activities throughout the engagement included development of a cost model, an organizational model and a staffing model; help with communications planning and program-level messaging to improve awareness of the Fair Fares Program, articulate changes to the eligibility requirements, and enable more effective change management for all aspects of the Program; identification of key performance measures and development of a prototype dashboard.

### **Project Impact**

- The high-profile Fair Fares expansion program — including the high-quality application review system — was launched on-time without significant issues, enabling DSS leaders and staff to focus more attention on other priorities.
- The Program materially benefited from an independent, outside perspective and from consistent, effective project and risk management applied to all Program processes and related initiatives. This included leadership receiving insight on underlying performance metrics, which led to further enhancement of Program analytics and performance.
- The system for receiving Program applications directly impacted 270,000 eligible clients who were able to utilize the online eligibility and application process to enroll in Fair Fares. Over 100 internal users utilize the enrollment process and application system to check client eligibility and process applications

## Example Deliverable Content

Figure 9. Example Process Step Map

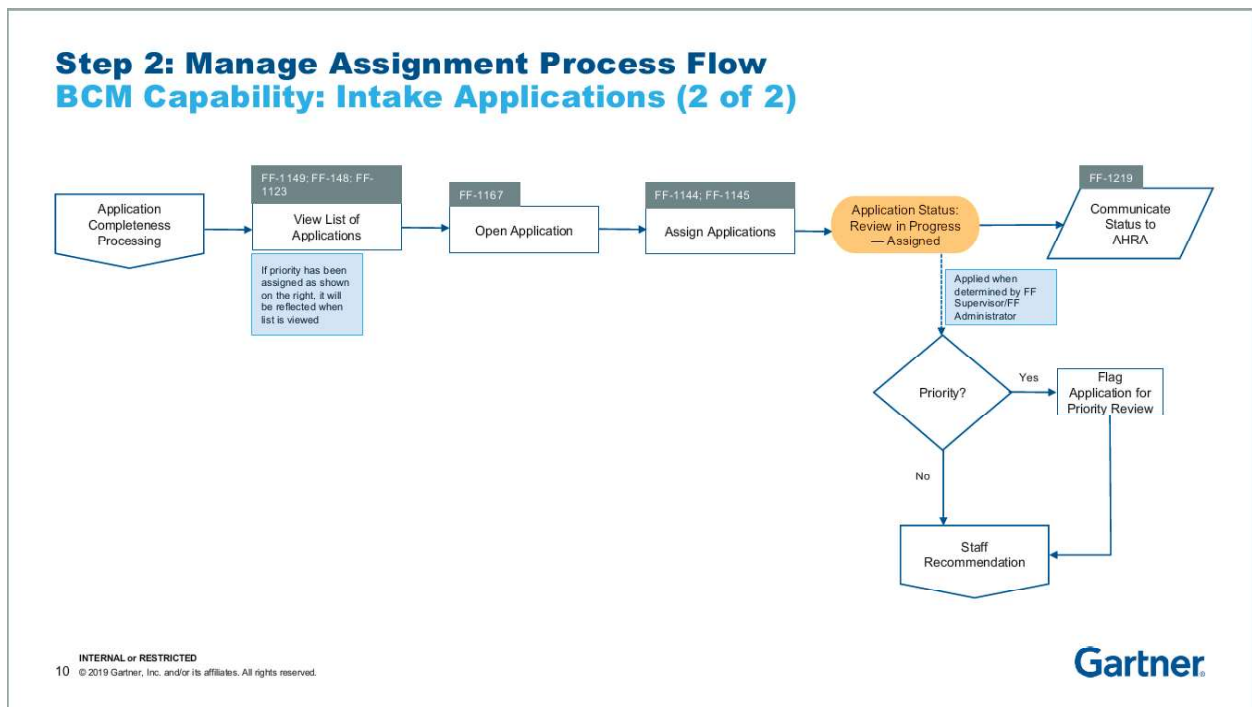


Figure 10. Example Communications Support Content

**What's New in January 2020?**

**FAIR FARES**

- Increased Services at Multiple Locations**
  - ✓ Dedicated Fair Fares application processing unit
  - ✓ Increased services at Fair Fares field sites in all five boroughs
- Open Application and Efficient Processing**
  - ✓ New technology and application facilitating the enrollment of more New Yorkers
  - ✓ State-of-the-art application
  - ✓ Increased monitoring and reporting
- Communications**
  - ✓ Marketing campaign rollout with the launch of open applications
  - ✓ Ability to target messages to potentially eligible New Yorkers

**Summary:** To help support Phase 3.0 implementation, updates and improvements to **Staffing, Process and Technology** will be implemented to ensure that operations are efficient and goals are achieved

RESTRICTED DISTRIBUTION  
 10 © 2019 Gartner, Inc. and/or its affiliates. All rights reserved.

**Gartner**



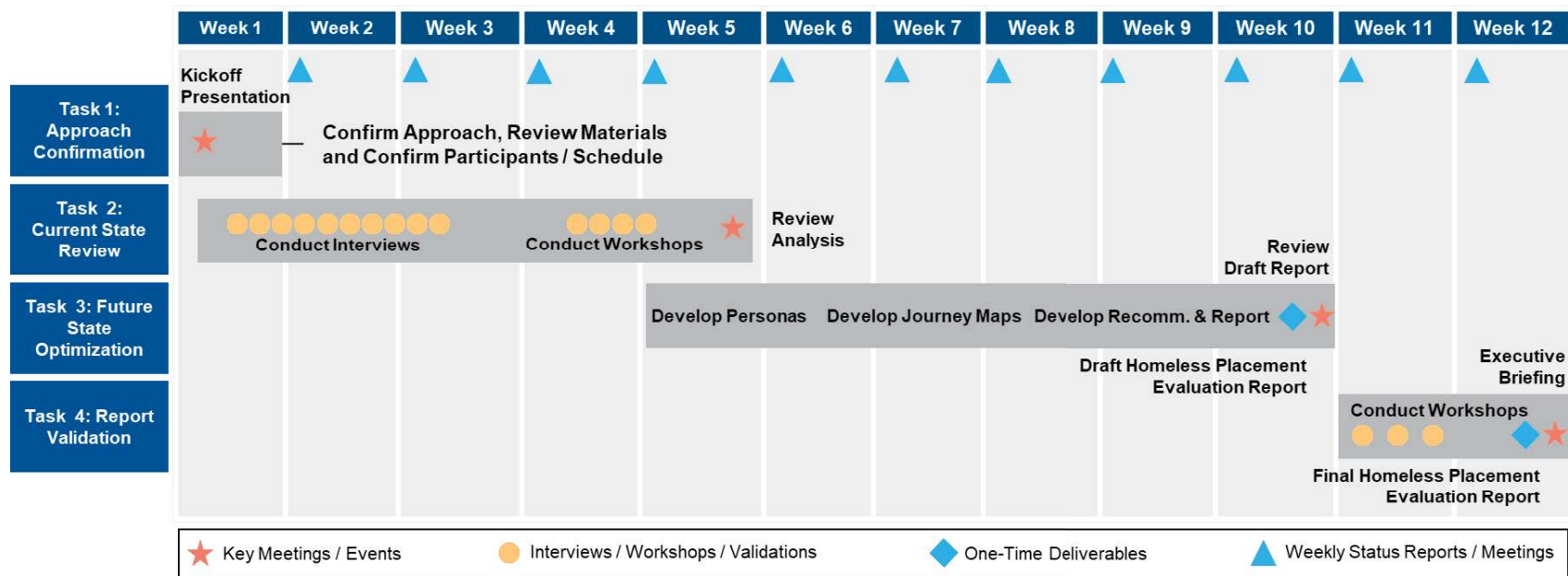
## Proposed Project Plan

Gartner anticipates providing the services described in Project Understanding and Approach in accordance with the schedule below. The project is assumed to begin April 17, 2023, as described in the solicitation and estimated to be completed July 7, 2023.

The figure below illustrates the approximate schedule for the project, which is dependent upon the timely availability of materials describing the existing process (especially the draft process flow analysis) and access to the necessary City and external stakeholders who can provide insight into the experience and needs of key participants.

Gartner will begin interviews immediately after confirming the approach and logistics and conducting the kickoff. Data collection will occur over the next approximately 5 weeks through a series of interviews and workshops to dig into current state process steps and the interactions between steps and participants to identify initial findings. Personas, journey maps, and the recommendations and report will then be developed. Finally, workshops will be held to validate the report. While formal client reviews are incorporated into the plan below, status meetings also will be used to discuss in-progress deliverable content to ensure progress and outcomes align with objectives.

Figure 11. Project Plan and Estimated Schedule





## Proposed Budget

Gartner proposes a budget for this engagement of \$275,000.

1. Task 1	\$27,500
2. Task 2	\$55,000
3. Task 3	\$82,500
4. Task 4	\$110,000

**TOTAL            \$275,000**

Gartner will submit Consulting invoices for the services above based on the completion of the corresponding milestones and/or deliverables set forth in this SOW per the following schedule:

- Completion of Tasks 1 & 2 - \$82,500
- Completion of Tasks 3 & 4 - \$192,500

These fees are inclusive of any expenses, relevant best practices and required participation from team members to achieve the project outcomes and deliverables outlined in this document.

Invoices are payable 30 days from the date of invoice; while we do not itemize billing for professional services, we agree and will comply with any reasonable requests for records substantiating our invoices.

## Assumptions

The deliverables, schedule, and pricing in this Proposal are based on the following assumptions:

### HDC Participation:

- HDC will designate a project manager to act as the primary point of contact for this engagement. HDC's project manager will be expected to work closely with the Gartner employees as needed and will: (a) approve priorities, detailed step plans and schedules; (b) facilitate the scheduling of Gartner interviews with appropriate client personnel; (c) notify Gartner in writing of any engagement or performance issues; and (d) assist in resolving issues that may arise.
- The work effort described in this Proposal assumes HDC's personnel are available to assist in the manner defined in this Proposal. If HDC's personnel are not available, a change of scope may be necessary.
- HDC will review and approve all documents required to facilitate project execution (collectively "Project Documents") within 10 business days. If no formal approval or rejection is received within this time frame, the Project Documents are considered to be accepted by HDC to facilitate drafting of each Deliverable. All Deliverables, provided by Gartner to Client shall be deemed to be accepted within 15 days of receipt by Client unless Gartner receives written notice of non-acceptance within 15 days after their delivery.
- HDC will schedule HDC's resources for project activities and provide meeting facilities as necessary.
- HDC's personnel will be available per the final project schedule.

- Gartner will formally capture feedback on your overall experience via our client survey. This allows us to quantify our performance on this engagement and achieve a culture of continuous improvement of process and best practice.

#### **Data Collection and Client Engagement:**

- The due diligence (as-is) data are reasonably available via interviews and documentation review.
- HDC will provide as much background information as possible, including the HDC draft process flow analysis with estimated cycle times, prior to Week 1 to enable Gartner to be prepared for immediate stakeholder interviews.
- HDC will ensure all external participants are identified and scheduled sufficiently to start interviews in weeks 1 and 2.
- HDC will provide timely access to all appropriate personnel to be interviewed. These personnel will provide the data necessary to complete this engagement, answer questions, provide existing documentation and attend working sessions.
- Engagement pricing is based on the assumption that Gartner will conduct the following client engagement events and that HDC will arrange all sessions with HDC's personnel in advance:
  - Single Kick-Off Meeting
  - 10 interviews in Task 2
  - 4 Process Workshops in Task 2
  - 1 current state review workshop in Task 2
  - 3 report validation workshops in Task 4
  - 1 Executive Briefing in Task 4
- All data collection and interviews/workshops will take place via telephone or in person at location as described in this Proposal and/or as agreed to at the project kickoff.

#### **Key Personnel:**

- Resumes/biographies of key personnel provided in this Proposal are included solely for illustrative purposes and do not indicate the commitment of a specific named associate. Upon signing of a contract, we will identify those associates with the appropriate skills and background to deliver fully on the undertakings defined in the Proposal.
- If unforeseen circumstances require the replacement of an associate on an engagement, Gartner will inform HDC as soon as reasonably possible and substitute appropriate associates with comparable skills.
- Gartner associates identified as Account Partners are not billed for as part of engagement pricing. Their guidance and support represent a significant value-add to the engagement.
- Where it is indicated in this Proposal, that a proposed team member is a sub-contractor to Gartner, HDC agrees to the inclusion of that individual as a member of the project team so long as the sub-contractor is suitably qualified to provide the services. If such inclusion is not reasonably acceptable to HDC, Gartner

will be informed at the earliest opportunity and requested to find an alternative team member.

### **Place of Performance:**

- Except for meetings and workshops, all Gartner services will be performed at Gartner locations.
- Office space, telephones, printing/copying services and access to the open internet will be made available on a reasonable basis to Gartner at HDC's locations for on-site project time.
- Deliverables:
- Any requests for additional information or resource (beyond the details described in the tasks above) that are made by HDC will be considered a change in scope for this engagement and will be handled accordingly (see Changes to Scope section of this Proposal).
- All deliverables will be developed using Microsoft Office products (e.g., Word and PowerPoint).
- All Deliverables, provided by Gartner to HDC shall be deemed to be accepted within 15 days of receipt by HDC unless Gartner receives written notice of non-acceptance within 15 days after their delivery.
- Deliverables will not be made available to anyone outside of HDC's organization.

### **Gartner Independence and Objectivity:**

- Gartner Research and Consulting recommendations are produced independently by the Company's analysts and consultants, respectively, without the influence, review or approval of outside investors, shareholders or directors. For further information on the independence and integrity of Gartner Research, see "Guiding Principles on Independence and Objectivity" on our website, [gartner.com](http://gartner.com) or contact the Office of the Ombuds at [ombuds@gartner.com](mailto:ombuds@gartner.com) or +1 203 316 3334.

## **Changes to Scope**

The scope of this engagement is defined by this Proposal. All HDC's requests for changes to the Proposal must be in writing and must set forth with specificity the requested changes. As soon as practicable, Gartner shall advise HDC of the cost and schedule implications of the requested changes and any other necessary details to allow both parties to make an informed decision as to whether they will proceed with the requested changes. The parties shall agree in writing upon any requested changes prior to Gartner commencing work.

As used herein, "changes" are defined as work activities or work products not originally planned for or specifically defined by this Proposal. By way of example and not limitation, changes may include the following:

- Any activities not specifically set forth in this Proposal.
- Providing or developing any deliverables not specifically set forth in this Proposal.
- Any change in the respective responsibilities of Gartner and HDC, including any reallocation or any changes in engagement or project manager staffing.
- Any rework of completed activities or accepted deliverables.

- Any investigative work to determine the cost or other impact of changes requested by HDC.
- Any additional work caused by a change in the assumptions set forth in this Proposal.
- Any delays in deliverable caused by modification of acceptance criteria in this Proposal.
- Any changes to research analysts' time or resources.

## **Administrative Proposal Requirements**

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.

### **Equal Employment**

Gartner has provided a copy of the firm's Employer Information Report EEO-1 in the appendix of this proposal.

### **Minority and Women Owned Business Enterprise (MWBE)**

Gartner is a strong supporter of the City's MWBE objectives and programs. As part of our extensive portfolio of engagements with the City of New York we have included MWBE partners in our work to both meet requirements and as our chosen approach to completing client engagements. We currently have a network of consulting services providers that we work with on engagements, and we look for opportunities to include MWBE suppliers in our work were possible such as with specific services such as graphic design or other capabilities.

### **New York City Location**

Gartner maintains two office locations in New York City and has many associates (100+) that are located in New York City including staff from across the tri-state area and beyond that are administratively based in the City. Our company is fully committed to its presence in New York City given its extensive client base in both the public and commercial sectors across the City and has no plans to relocate nor have any employees been relocated from offices to locations outside of New York City asides from voluntary and employee-initiated moves.

Gartner has been a long-standing vendor of the City of New York being party to contracts going back over twenty years and across multiple Mayoral administrations. Our company remains a contractual partner of multiple city agencies and that is based upon a track record of providing valuable services and support to the City across dozens of engagements and departments. We comply with all city requirements for local sourcing including focusing on partnerships with women-owned, minority owned and small business enterprises. Gartner teams have regularly volunteered support to City philanthropic efforts including supporting for many years the annual DHS Homelessness Street Count program with volunteers. We have supported for the NYC Parks clean-up volunteer program and multiple other philanthropic efforts across the city. Gartner has previously supported internships as part of City programs and remains committed to promoting good government and opportunities advancement for all citizens.

### **Local Law 34 Compliance**

Gartner has provided a completed 'Doing Business Data Form' in the appendix of this proposal.

## **Appendix – Resumes**



---

## Charlotte Hasse

*Director, Gartner Consulting*

---

Charlotte Hasse is a Director in Gartner Consulting's Public Sector practice and is based out of the Gartner offices in New York City. Ms. Hasse has experience in technology, law, marketing, and business analytics. Ms. Hasse has been active in multiple subject areas since joining Gartner in 2016.

Ms. Hasse's recent project experience includes:

- For a New York City Agency — Developing pre-design recommendations for functionality to be added to a citywide procurement system by conducting interviews of subject matter experts at various City agencies and external users and then creating and validating customer journey maps and process flows. Includes identifying opportunities to improve process transparency and overall customer (agency and external) experience.
- For the City of New York Department of Social Services:
  - Leading support of the strategic implementation of a public discount transportation program, including the definition of business capabilities; development of cost and staffing models; and creation of functional requirements for technology enablement, organizational design, and a communications strategy. Providing support throughout implementation through risk analysis and ongoing updates to operational and technical approaches based on leadership decisions, additional insight into Agency and client needs, and experience with technology solution. Assisting with the definition of the User Acceptance Testing (UAT) process (on-site and remote) and for multiple releases, creating scripts and associated data requests to guide UAT.
  - Leading the development of the new performance management approach for the public discount transportation program, including identifying and analyzing the current state; specifying the use cases and metrics needed for performance management, operational intelligence, and advanced analytics and strategy; and recommending the appropriate technical solution for the program. Working with code development team to understand and validate changing database design and content as the program expanded. Performing data analysis through SQL to inform identification and development of metrics that could be used to inform decision making associated with client enrollment and retention. Leading the creation of the program dashboard using sample data and performing knowledge transfer to enable the client team to use the dashboard in their environment with live data.
  - Advising on the strategy for the new phase of the program, including helping to identify needed policy decisions and factors for consideration. Leading the development of user stories for technology enablement of the new phase and advising on inter-agency communications to understand related strategies and development efforts. Includes building in lessons learned from previous phases.
- For a Georgia State Agency — Leading the optimization of a statewide enterprise project management office (EPMO), including defining the vision and drivers and the needed capabilities and operational model to address new demands for services and requirements related to additional funding sources, as well as the initiatives and a roadmap for implementation.
- For a New York City Agency — Creating a multi-year IT strategy, including initiatives for improving procurement processes, application deployment and customer experience for agency providing citywide technology services.

- For a New York City Agency — Developing the approach for, and conducting analysis of, receiving information and outbound delivery records related to COVID-19-related purchases to identify potential for federal reimbursement and to propose and address data inconsistencies. Includes collaborating with another City agency and consulting firm to ensure consistency in end-to-end purchase-to-outbound-delivery approach and documentation.
- For a Massachusetts State Agency — Leading the development of a business capability model, vision and drivers, market scan and solution options analysis, and implementation initiative and roadmap for replacement of a mission-critical, statewide budgeting system. Includes identifying opportunities for improvement of delivery to customers (local agencies and their designees).
- For a large California County's Health Services Agency:
  - Providing Program & Project Management (PPM) assistance and Quality Assurance (QA) services for the implementation of a population health management solution and the extension of the Electronic Health Record (EHR) solution to another department. Includes oversight of large-scale transformations of care delivery and processes through the technology enablement.
  - Conducting stakeholder interviews to evaluate the risks associated with current projects and proposed initiatives, analyzing the identified risks, and developing strategies for mitigating project and Agency risks. Includes identification of any challenges to change management associated with analyzed projects and initiatives.
  - Developing a project management approach for enterprise-wide IT projects that address the specific needs of IT projects, while being consistent with the EPMO. Engaging in related capacity building and knowledge transfer.
- For a New York City Agency and a large California County's Agency — Developing analysis and recommendations related to staffing and organizational design to enable the IT workforce to deliver services more effectively to, and add value for, its agency customers. Conducting stakeholder interviews and analyzing current state information (e.g., staffing allocation across functional areas compared to Gartner benchmark data) and goals as inputs to the definition of the future functional organizational design. Launching and analyzing the results of a survey-based skills inventory to understand the IT workforce's capabilities and gaps relative to the desired future state. Defining initiatives needed to achieve the short- and long-term future states.
- For a New York City Agency — Leading the definition of, and assisting with the implementation of, the customer service delivery approach for a citywide, multi-agency COVID-19-related distribution program; managing the processing of customer inquiries, including identification of next steps; assisting in creating the messaging for, and coaching of, callers contacting clients in need of assistance; and analyzing and addressing the results of quality assurance monitoring related to the distributions.

Ms. Hasse's experience prior to joining Gartner includes:

- For a California State Agency — Served clients in the California Legislature by drafting and amending legislation (including the budget) consistent with legislators' policy decisions and analyzing and answering legal questions.
- For a California State Agency — Drafted contracts on behalf of the State to meet technology needs — through software, hardware, and services — and provided in-house-counsel-type advice regarding the contracts and other internal issues.

- For a Transportation-focused Data Analytics firm — Analyzed months of public transportation data — including through scripting in R — to evaluate a proposed change to local Agency operations, including recommending adjustments to data collection and governance that would be required to make a final decision.

Prior to joining Gartner, Ms. Hasse received a Master of Business Administration (M.B.A.) from the Rady School of Management at the University of California, San Diego (UCSD) with emphases in Analytics, Finance and Strategy. She previously earned a bachelor's degree from Princeton University and a Juris Doctor (J.D.) from the University of San Diego.

---

## **Carla Pascual**

### *Senior Consultant, Gartner Consulting*

---

Carla Pascual is a Senior Consultant with Gartner Consulting, focusing on the Northeast region. Ms. Pascual brings over eight years of experience in the Telecom and Public Sector industries. Her areas of expertise include IV&V, current state analysis, business opportunity identification and future state design, customer and market segmentation, strategy, and competitive analysis. Ms. Pascual joined Gartner in 2017 and works out of the Gartner offices in New York City.

Ms. Pascual's recent project experience includes:

- For the New York City Department of Social Services — Analyzed the organization's operating model by taking into consideration current technological and business capabilities and processes. This resulted in recommended future capabilities and a product management approach that will support successful implementation. Developed functional requirements for application design to ensure that critical components essential to the business and its customers are reflected. Created a prioritization list for future enhancements to assist in determining which functionalities will be developed for succeeding program phases. Regularly identified key risk areas and proposed possible mitigation actions to help prioritize areas that need to be addressed. Assisted in project management activities like creating project schedules to determine which activities and milestones are to be accomplished within a given period. In addition, led communications and messaging plan by taking into consideration relevant customer journeys and aligning these with customer preferences and integral business needs.
- For a Canadian Government organization — Conducted a current state assessment of digital technologies within the organization while looking at potential future digital initiatives to help mature internal capabilities. The assessment included evaluating and recommending numerous digital technologies available in the market. As a result, this will be used as a guide to prioritize digital initiatives and to build the organization's future internal Digital Strategy.
- For the New York City Employees' Retirement System — Provided IV&V support as the organization modernized its legacy system. Activities included monitoring that identified functional requirements and timelines are adhered to, creating analyses for development activities, and ensuring that the partner system integrator's deliverables and activities meet standards and quality agreements.
- For an American Higher Education Institution — Reviewed and analyzed current state processes related to the institution's current CRM solutions and overall student experience. The analysis resulted in identifying improvement opportunities and recommending initiatives to support and enable its future CRM strategy.

Prior to joining Gartner, Ms. Pascual has five years' worth of experience at Smart Telecommunications, Groupon Philippines, and Citibank, NA in Manila, Philippines.

Ms. Pascual is a Master of Business Administration (M.B.A.) with a major in Marketing and a minor in Information Systems from Fordham University's Gabelli School of Business. She is also a Bachelor of Science (B.S.) in Management from Ateneo de Manila University, Philippines. Ms. Pascual holds an ITIL v4 foundations certification.

---

## **Erika Chahil**

*Senior Managing Partner, Gartner Consulting*

---

Erika Chahil is a Senior Managing Partner with Gartner Consulting where she leads the Gartner Public Sector Health & Human Services (HHS) industry. She has more than 20 years of industry and government experience spanning public health, Medicaid, economic assistance, and social services programs. She specializes in helping HHS organizations improve operations and outcomes. Ms. Chahil has extensive experience in leading business transformation and modernization efforts, and expertise in strategic planning, business capability modeling, acquisition support, portfolio management, performance management and IT optimization.

Ms. Chahil's recent project experience includes:

- For County of San Diego Health and Human Services Agency — Led the engagement and vision for the client's "Integrated HHS Model of Practice Transformation" initiative to develop a 360-degree view of County consumers, enabling a collaborative service delivery model across a number of County agencies to improve care coordination, service provider referrals and consumer outcomes.
- For State of Nebraska, Department of Health and Human Services — Conducted assessment and alternatives analysis on the failed Eligibility & Enrolment System (EES) project to determine the most viable way forward and provide actionable recommendations. Led multiple projects in support of the iServe Nebraska Program, including data sharing and integration assessment and roadmap development; governance and Enterprise Program Management Office (EPMO) implementation; IT organizational assessment and roadmap; integrated eligibility and platform procurement support; and client-facing portal procurement support.
- For State of North Carolina, Department of Health and Human Services — Led the engagement consisting of assessment, alternatives analysis and strategic roadmap for the Child Welfare Services Information System project (CCWIS implementation) for moving forward with an integrated social services and eligibility and enrollment platform.
- For State of South Carolina, Department of Health and Human Services — Provided in-depth architecture analysis and direction to support Gartner assessment of the viability of a Medicaid Enterprise System based on Centers for Medicare & Medicaid Services' (CMS') updated modularity expectations, focused on the availability and efficacy of administrative services organizations for "fee-for-service" claims adjudication, and project management and System Integrator (SI) approaches.
- For State of Washington, Health Care Authority (State Medicaid Agency) — Developed a strategic roadmap to create the necessary infrastructure and enable the vision for integrated decision support through Business Intelligence (BI) and shared analytics for "Healthier Washington" — an initiative supported by State Innovation Model funding from the CMS.
- For State of Tennessee, Department of Human Services (TDHS):
  - Completed an extensive assessment of the troubled Eligibility & Enrolment Framework (EEF) program, created a go-forward strategy and recommendations that were subsequently implemented, resulting in organizational changes and re-procurements.
  - Conducted a feasibility study, cost-benefit analysis, and prepared Implementation Advanced Planning Documents (IAPD) for the Enterprise Systems Modernization (ESM) program. This included the development of a generalized system design and

- detailed functional/non-functional requirements for the ESM solution set for Temporary Assistance for Needy Families (TANF), Supplemental Nutritional Assistance Program (SNAP), childcare licensing and services, CSE, program integrity and appeals & hearings and enterprise integration platform in support of the study and forthcoming procurement efforts.
- Developed a strategic roadmap for ESM addressing Enterprise Architecture (EA) and application systems rationalization for systems across the scope of TDHS main activities. This included devising enterprise approaches for family assistance eligibility and benefits management, childcare licensing, and child support enforcement.
  - For State of Georgia, Illinois and Florida, Department of Public Health — Provided strategic planning and subject matter expertise to the department for the development of their enterprise systems modernization recommendations and strategic roadmap.
  - For State of Hawaii, Department of Human Services:
    - Conducted a feasibility study, cost-benefit analysis, prepared IAPD for the Benefit, Employment & Support Services Division (BESSD) program and the DDI Request for Proposal (RFP). This included the development of a generalized system design and detailed functional/non-functional requirements for the BESSD solution set for TANF, SNAP, childcare licensing, Low Income Home Energy Assistance Program (LIHEAP), CSE, program integrity, appeals and hearings, and enterprise integration platform in support of the feasibility study and forthcoming procurement efforts.
    - Developed a strategy for replacing their legacy Statewide Automated Child Welfare Information System (SACWIS), including performing an assessment of the current system to define the imperatives for replacing the system, evaluating solution alternatives defining the future state, performing a gap analysis (between the current state and future state), and developing the procurement strategy and roadmap.
  - For State of Ohio, Health Transformation Cabinet — Provided project management and subject matter expertise to the State for the procurement of a large integrated eligibility and decision support solution for all of HHS programs and services. Developed a roadmap, documented functional and nonfunctional requirements, general system design, data models, conducted an analysis of alternatives and developed an RFP for procurement.
  - For State of Connecticut, Department of Social Services:
    - Provided functional subject matter expertise to the State agency responsible for administering the Medicaid program in Connecticut for the procurement strategy of their legacy eligibility system. Supported the Medicaid Information Technology Architecture (MITA) self-assessment task for the State’s Medicaid Management Information System (MMIS).
    - Led a project for the development of a comprehensive State Medicaid Health IT Plan (SMHP) that describes the State’s Medicaid Electronic Health Record (EHR) incentive program and how it will integrate current and planned Medicaid HIT assets and fit within the larger State Health Information Technology (HIT) roadmap. Also, developed the SMHP IAPD to secure CMS funding for the implementation and management of the SMHP. Both the documents have been approved by CMS.
  - For State of Connecticut, Department of Public Health — Provided subject matter expertise and delivery support in the development of the State’s health information exchange



strategic and operational plans and feasibility analysis as part of the State's Office of the National Coordinator (ONC) grant application requirements.

- For State of Texas, Department of State Health Services Women, Infants, Children (WIC) — Functional lead for the planning, requirements and procurement support for a new clinic and Electronic Benefit Transfer (EBT) system for the State's WIC program.
- For Cleveland Clinic Emerging Business Division — Conducted a Go-to-Market (GTM) engagement to identify and prioritize emerging opportunities in Information & Technology (I&T) products and services. The emerging business opportunities Gartner investigated focused on significant opportunities in consulting, application and network-based solutions, hosted services, and information analytics.
- For Jose de Mello (JMS) — For a large Healthcare Provider in Portugal, provided assessment and developed a strategic roadmap for JMS' approach to HIT strategy and investments including electronic.

Prior to joining Gartner, Ms. Chahil was the Lead System Engineer for the Department of Defense (DoD) Health Affairs Resources Information Technology Program Office.

Ms. Chahil received a Bachelor's degree (with first-class honors) in Electrical Engineering from John Brown University. She also holds a Masters of Engineering Management with a concentration in Marketing of Technology and Engineering Economics from George Washington University. She holds Project Management Professional Certification (PMI), Certified Professional in Health Information Management Systems (CPHIMS), and ITIL V3 certification. Ms. Chahil is also fluent in verbal and written Spanish.

---

## **Anthony Hollingworth**

*Senior Managing Partner, Gartner Consulting*

---

Anthony Hollingworth's expertise is in the strategic planning, development and implementation and management of public sector operations and technology, with a particular emphasis on the Health and Human Services sector. This includes experience in strategic planning, implementation design, technology deployment and management process development. Mr. Hollingworth has focused on the translation of policy and strategy objectives into action by building operational systems, processes and teams that are guided by digital tools, data and analytics and effective procurement processes. Enhancing the effectiveness and equity of government services is consistent theme of Mr. Hollingworth's professional career and client engagements. Based in New York City, Mr. Hollingworth joined Gartner in 2008.

Mr. Hollingworth's recent project experience includes:

- A major Northeast City Information Technology agency — Led an engagement to create a new strategic plan for the new city technology and innovation agency intended to guide City technology priorities within the agency and all City technology organizations. The plan extended into developing the information technology engagement of the City, civil society and commercial sectors. This work involved creating a strong set of strategic initiatives working with senior executives across the City and organizing the work into an achievable action plan and priorities statement for publication. (2022)
- A major Northeast City public healthcare payer organization — Orchestrated Gartner's support for the visioning, requirement development and procurement planning of a large-scale healthcare core processing system to provide enhancing operational processing, improved data quality and to provide a platform for further data driven innovations in the health plan's engagement with providers and its client base. (2022)
- A major Northeast City child welfare agency — lead our team in a strategic review of high-priority technology projects to ensure that agency program and operational needs were supported effectively. This progressed to supporting technology procurement and deployment efforts to effectively address the highest priority agency operational needs and strengthen the link between operations and promote digital enablement of agency services and tools (2022)
- The City of New York Department of Social Services — Oversaw the development of operational model and technology functional analysis to support the deployment of a major subsidized fare program for mass transit available to City residents meeting specific economic criteria. Leading a team to complete the required functional specifications and support operational planning and deployment to ensure the on-time launch of the program (2019-ongoing)
- A major Northeast City emergency management agency — Providing operational support to the deployment and management of an emergency program to provide air conditioning systems to eligible elderly members of the City community during the COVID-19 pandemic. This included establishing and operating an escalation help desk to ensure that the most challenging installations and client supports were fully completed by the City and its third-party contractors. (2020)
- A major Northeast City Public Health System — Lead the development of a comprehensive IT infrastructure and data center development strategy to meet expanding needs and prevent security and capacity risks with existing infrastructure. This included a detailed alternatives analysis to identify the best fit and strongest financial outlook for the health system. The strategy was then used to conduct a robust procurement process to ensure

that new data center facilities could be secured along with the systems implementation services required to execute on the strategy (2020)

- The NYC Employees' Retirement System — Leadership and oversight of engagements to establish procurement strategy and planning for major legacy system replacement strategy. Included development of multiple procurement vehicles to support overall strategy for pension administration, CRM and contact center operations. Procurement planning and management was accompanied with organizational readiness and preparations for initiation of system development and impact of changes on operations. Since 2018 this has involved leading the procurement, negotiation and independent validation and verification of the legacy system replacement by the selected system integrator. (2015 — ongoing)
- A major Northeast City Public Health System — Orchestrated the development of an advanced data and analytics strategy to support medical and operational analytics across the health system as well as the supporting technologies and processes for the program. This was then developed into a high-velocity procurement program to ensure that the health system was able to secure the right technologies and vendors at an advantageous price point all with the stringent timeframe of the grant funding being used to fund the analytics program (2019)
- A major Northeast City Information Technology department — Provided executive review of a City IT strategy planning to enhance customer service, deliver operational priorities and update organizational resource allocation. Included review and assessment with senior executives and strategic initiative implementation teams (2018-19)
- A major Northeast City Correction Department — Conducted executive oversight on application strategy and solutioning for a future inmate management system to transform operational processes across the full inmate pathway from intake to discharge and all required services. (2017)
- A major Northeast City veteran's services agency — Strategic and operating model development for new City department to ensure that support and services for Veterans would be effectively managed and enabled across an active and integrated network of services and partners via innovative use of technology (2018)
- A major Northeast City Retirement System — Executive leadership across a set of engagements to support the implementation of the retirement systems strategic plan. This included engagements to address development of client and operational business processes in preparation for legacy system replacement, updating of client contact center technologies, assessing, and recommending developments of the IT organization and initiation of a program to enhance data quality and prepare for data migration to a modernized strategic technology platform. (2015)
- A major Northeast City Procurement Office — Orchestrated a strategic review of the City's procurement office including office senior executives to develop an updated vision and strategic objectives for the office. This was accompanied by a set of a strategic initiatives aligned to the strategic objectives and to enable the transformation of the office strategy (2016)
- A major Northeast City Retirement System — Led an engagement to develop a Strategic Transformation plan for the whole retirement system in the context of the modernization of plan technology and administrative systems. The strategic plan included a new Vision for the organization supported by strategic objectives to address current and future client service and operational needs and business capabilities. This plan was supported by a detailed current state IT assessment and analysis of the future strategic technology

direction and alternative technologies. The plan included prioritized and sequenced strategic initiatives supported by clear success measures and resource estimates. The engagement also provided detailed procurement planning and strategy execution support (2017)

- A large Northeast State — Oversaw the development of a detailed business process framework for the transformation of testing operations and technology for the State Civil Service system. This included development of functional use cases and requirements to meet all State objectives in test management and test delivery across all civil service job titles in a process that is vital to the effective management of State human resources. The engagement also included detailed procurement strategy and development of comprehensive procurement documentation (2015)
- A major Northeast City — Managed the development of a wide-ranging operational and business strategy to support Mayoral priorities in the delivery and availability of Health and Human Services. This strategy included developing existing City HHS assets and investigating options to create new strategic capabilities regarding analytics, client management, service coordination and operational network strength. All these capabilities would be supported by digital technologies and frameworks to enhance the impact of City programs in support of the most vulnerable and at-risk City residents. The strategy included a comprehensive set of strategic initiatives and technology developments in support of the City's objectives (2015)

In addition to his consulting engagements Mr. Hollingworth has jointly authored two Gartner research notes on COVID-19 Vaccine Management, Public Sector IT implementation and Business Intelligence for the 2008 stimulus program.

<http://www.gartner.com/AnalystBiography?authorId=33749>.

Prior to working with Gartner, Mr. Hollingworth was a project manager at the University of Pennsylvania's Fels Institute of Government. At Penn, he managed a series of consulting projects with state and local governments and large nonprofit organizations. These projects included working with the Philadelphia Department of Human Services (DHS), where he supervised the development and deployment of internal performance management processes and systems to support the Department's child welfare information systems and the federal Child and Family Services Review (CFSR) process. This work also included extensive analysis of child welfare performance data and businesses processes as Mr. Hollingworth supported the DHS performance-based contracting (PBC) system for providers of foster care social services in Philadelphia, which on implementation helped to produce a 15% increase in children being returned to permanent home-settings after spells in foster care. Mr. Hollingworth also conducted and coordinated research on contemporary public administration sponsored by national philanthropic foundations.

Before his graduate studies and management role at Penn, Mr. Hollingworth was a consultant with Accenture in the United Kingdom. This position involved business process design, change management and technology consulting. Mr. Hollingworth specialized in customer relationship management and organizational performance with private sector clients in the U.K.

Mr. Hollingworth received a Bachelor of Arts with first class honors in Philosophy, Politics and Economics from the University of York, U.K. Mr. Hollingworth also holds a Master's degree in Public Administration from the University of Pennsylvania and was awarded the Fels Institute of Government's Performance Management Award in 2005. Mr. Hollingworth was also an active member of the British Army Volunteer Reserve between 1996 and 2003, with the Royal Corps of Signals, and most recently with the U.K. Joint Civil-Military Cooperation Group.

## Appendix – Engagement Letter/Contract

### Master Consulting Services Agreement - Gartner, Inc.

This **Master Consulting Services Agreement** (“**Agreement**”), dated as of February 16, 2023 (the “**Effective Date**”), is between Gartner, Inc. located at 56 Top Gallant Road, Stamford, Connecticut, 06902-7700 (“**Gartner**”) and NEW YORK CITY HOUSING DEVELOPMENT CORPORATION located at 110 William Street, NEW YORK, New York, 10038 (“**Client**”), and sets forth the terms and conditions for the provision of consulting and/or benchmarking services to be performed by Gartner or its Affiliates for Client or its Affiliates (collectively, the “**Services**”). For purposes of this Agreement, “**Affiliates**” means any entity that, directly or indirectly, controls, is controlled by, or is under common control of that party. “**Control**” means direct or indirect ownership of 50% or more of the stock or other interests entitled to vote for the election of the board of directors or other governing body of the entity.

- 1. Statements of Work.** This Agreement is applicable to all Services provided by Gartner during the term of this Agreement as set forth in a Statement of Work (“SOW”). Each SOW shall comprise of documents signed by both parties containing at least the following for each engagement: the scope of the Services, the deliverables to be provided by Gartner (the “Deliverables”), specific responsibilities of Client, and the fees and payment schedule for the Services. The parties may make changes to any SOW provided that both parties agree to the changes in writing.
- 2. Term of Agreement.** This Agreement shall remain in effect until terminated by either party on at least 30 days’ prior written notice to the other party.
- 3. Term of SOWs.** Unless otherwise agreed in a SOW, each SOW is non-cancellable and shall remain in effect until the Services have been completed by Gartner and accepted by Client in accordance with this Agreement. Either party may terminate a SOW for material breach by the other party upon 30 days’ prior written notice, if the breaching party does not cure the breach within the 30-day notice period. Such notice shall set forth in reasonable detail the nature of the asserted breach.
- 4. Effect of Termination.** Upon termination of this Agreement, Gartner shall complete the Services under all SOWs in process as of the effective date of termination. The provisions of this Agreement shall continue to apply to all ongoing SOWs.
- 5. Intellectual Property.** Client shall retain all right, title and interest in any proprietary materials supplied to Gartner (“Client Materials”), and grants Gartner all necessary rights and licenses for Gartner to fulfill its obligations under each SOW. Excluding any Client Materials, Gartner shall retain sole and exclusive ownership of the Deliverable(s), Gartner tools, methodologies, questionnaires, responses, and proprietary research and data generated in the course of performing the Services, together with all intellectual property rights therein (the “Gartner Materials”). Gartner grants Client a perpetual, non-exclusive, royalty-free license to use the Deliverables, subject to the limitations set forth in Section 7 (Use of Deliverables). Gartner shall not be restricted in its use of ideas, concepts, know-how, data and techniques acquired or learned in the course of performing the Services, provided that Gartner shall not use or disclose any of Client’s confidential information, as defined in Section 8 (Confidentiality).
- 6. Benchmarking Services.** With respect to any benchmarking services performed by Gartner, Gartner will only use Client’s data in an aggregate and anonymous format. Client acknowledges that the contents of the benchmarking Deliverables are based upon information which is proprietary to Gartner and contained in Gartner’s database. Client’s data will become part of the database. The database will be used by Gartner in future consulting and benchmarking engagements.



**7. Use of Deliverables.** Subject to payment in full of the applicable fees, Gartner grants to Client, for internal purposes only, a worldwide, royalty-free, perpetual license to use, reproduce, display, distribute copies of, and prepare derivative works of the Deliverables. Unless the Deliverable is identified in a SOW as intended for external distribution by Client such as a Request for Proposal or similar document, Client shall not make the Deliverables available, in whole or in part, to anyone outside of Client, or quote excerpts from the Deliverables to the public. Notwithstanding the foregoing, Client may share the Deliverables with (i) its outside auditors and/or accountants, (ii) third parties who have signed appropriate confidentiality agreements with Client who are engaged by Client to review or implement suggestions or to further research the issues contained in the Deliverables, (iii) governmental or regulatory bodies as required by law, and (iv) with Client's Affiliates provided that its Affiliates are made aware of the obligations under this Section and that Client remains liable for the use made of the Deliverables by its Affiliates.

**8. Confidentiality & Data Protection.**

a) The parties agree to keep confidential and not to use or disclose to any third parties any non-public business information of the other party learned or disclosed in connection with each SOW, including the Gartner Materials. The obligation of the parties with respect to the confidential information shall terminate with respect to any particular portion of the confidential information if and when: (i) it is in the public domain at the time of its communication; (ii) it is developed independently by the receiving party without use of any confidential information; (iii) it enters the public domain through no fault of the receiving party subsequent to the time of the disclosing party's communication to the receiving party; (iv) it is in the receiving party's possession free of any obligation of confidence at the time of the disclosing party's communication; (v) it is communicated by the disclosing party to a third party free of any obligation of confidence; or (vi) the receiving party has the disclosing party's written permission.

b) Each party shall provide notice to the other of any demand made upon it under lawful process to disclose or provide any of the other party's confidential information. The receiving party agrees to cooperate with the disclosing party, at the disclosing party's expense, if the disclosing party elects to seek reasonable protective arrangements or oppose such disclosure. Any confidential information disclosed pursuant to such lawful process shall continue to be confidential information.

c) In performing its obligations under this Agreement, each of Gartner and Client will comply with all applicable data protection legislation. In the event that any personal data is exchanged under this Agreement or any SOW, the parties shall treat such personal data in accordance with their respective privacy policies.

**9. Warranties.** Client warrants that Gartner's use of any materials furnished by Client in connection with a SOW does not infringe any copyright, trademark, trade secret or other right of any third party. Gartner warrants that the Deliverables, in the form provided to Client, do not infringe any copyright, trademark, trade secret or other right of any third party.

EXCEPT AS PROHIBITED BY APPLICABLE LAW OR OTHERWISE SET FORTH ABOVE, ALL SERVICES ARE PROVIDED ON AN "AS IS" BASIS AND GARTNER DISCLAIMS ALL OTHER WARRANTIES, EXPRESS OR IMPLIED, STATUTORY OR OTHERWISE, INCLUDING, WITHOUT LIMITATION, ANY IMPLIED WARRANTIES OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE. THE INFORMATION IN THE DELIVERABLES HAS BEEN OBTAINED FROM SOURCES THAT GARTNER BELIEVES TO BE RELIABLE. ALL DELIVERABLES SPEAK AS OF THE DATE OF DELIVERY TO THE CLIENT. GARTNER HAS NO OBLIGATION TO ADVISE CLIENT OF ANY CHANGE IN THE INFORMATION OR VIEWS CONTAINED IN THE DELIVERABLES.

**10. Limitation of Liability.** Neither party shall be liable for any consequential, indirect, special or incidental damages, including but not limited to, lost profits, business failure or loss of use, arising out of use of the Deliverables or the Services, whether or not advised of the possibility of such damages. Except for liability for personal injury or death or for damage to property caused by the negligence or willful



misconduct of a party or its employees, or a party's breach of its confidentiality obligations under this Agreement, each party's total liability arising out of this Agreement and the provision of the Services shall be limited to the fee paid by Client under the SOW under which such liability arises. Unless otherwise prohibited by applicable law, and except for actions by Gartner for payment, no action or proceeding arising out of this Agreement may be brought more than two years after the events giving rise thereto.

- 11. Fees and Expenses.** The fees due to Gartner in connection with each SOW are set forth in the SOW and are exclusive of any applicable taxes. All taxes are the responsibility of the party to which those taxes apply. Client agrees to pay all reasonable travel-related expenses incurred by Gartner in connection with the Services. Out-of-pocket expenses related to travel and subsistence will be billed at the actual amount incurred, and are not included in the professional fee applicable to each SOW.
- 12. Acceptance of Deliverables.** All Deliverables provided by Gartner to Client shall be deemed to be accepted within 15 days of receipt by Client unless Gartner receives written notice of non-acceptance within 15 days after delivery. Any notice of non-acceptance must state in reasonable detail how the Deliverables did not conform to the SOW and Gartner shall use its reasonable business efforts to correct any deficiencies in the Deliverables so that they conform to the SOW. Client shall not withhold any payment for Services except for material and substantial non-conformity with the SOW.
- 13. Assignment.** The parties may not assign any rights or delegate any obligations under this Agreement without the prior written consent of the other party, which consent shall not be unreasonably withheld, provided (i) Gartner may assign any rights or obligations under this Agreement to any of its affiliates and subsidiaries without the prior consent of Client and (ii) each party may assign its rights to a successor entity provided that upon the merger or consolidation of such party or the transfer of all or substantially all of its assets to a third party, the surviving entity is controlled by the person(s) controlling such party prior to the date of such merger, consolidation or transaction. Any assignment in violation of this Agreement is void. This Agreement shall be binding upon the successors, legal representatives and permitted assigns of the parties.
- 14. Force Majeure.** Neither party shall be in breach of this Agreement to the extent performance is prevented or delayed by natural disasters, war, acts of God or any similar event, that is beyond the reasonable control of either party.
- 15. Publicity.** Neither party shall use the name of the other party in any announcements, press releases or advertisements, or for any commercial purpose, without the prior written consent of the other, except that Gartner may name Client in client listings.
- 16. Independent Contractors.** The relationship of the parties is that of independent contractors. Neither party shall be deemed to be the employees, agents, joint ventures or partners of the other, and neither party shall have the authority to bind the other. Nothing contained in this Agreement shall preclude Gartner from rendering services to others or developing work products that are competitive with, or functionally comparable to, the Services.
- 17. No Third-Party Beneficiaries.** This Agreement is for the benefit of the parties only. None of the provisions of this Agreement are for the benefit of, or enforceable by, any third party. The parties agree that no third party shall have the right to (i) rely on the Services provided by Gartner, or (ii) seek to impose liability on Gartner as a result of the Services or any Deliverables furnished to Client.
- 18. Entire Agreement.** This Agreement, together with the SOWs, constitutes the entire agreement between the parties with respect to the subject matter hereof and supersedes all prior documents and agreements, and shall not be effective until accepted by an authorized representative of Gartner and Client.

- 19. Amendments/Controlling Document.** Any change to the provisions of this Agreement shall be made by written amendment signed by both parties. The provisions of this Agreement shall control any inconsistencies with SOWs unless otherwise specifically agreed by the parties in writing by referencing the provision of this Agreement being modified. This Agreement and any amendments thereto may be executed in counterparts.
- 20. Severability.** If any term of this Agreement or a SOW is to any extent invalid, illegal, or incapable of being enforced, such term shall be excluded to the extent of such invalidity, illegality, or unenforceability; all other terms hereof shall remain in full force and effect.
- 21. Notices.** All notices under this Agreement shall be in writing and sent by hand delivery, courier or certified mail, return receipts requested, to the other party's address set forth below. Notices shall be effective upon receipt. A party may change its address by giving written notice to the other party in accordance with this Section.

**If to Gartner:**

Gartner, Inc.  
56 Top Gallant Road, Stamford, Connecticut,  
06902-7700

Attention: General Counsel

With a simultaneous copy to

the attention of the Legal Department

**If to Client:**

NEW YORK CITY HOUSING DEVELOPMENT  
CORPORATION

110 William Street, NEW YORK, New York,  
10038

Attention:

**22. Governing Law.** This Agreement, and any dispute arising from it, shall be governed by and construed in accordance with the laws of the State of Connecticut, without reference to conflict of law principles.

**23. Dispute Resolution.** Any dispute arising out of or in connection with this Agreement shall be decided by a single arbitrator under the Streamlined Arbitration Rules of the Judicial Arbitration and Mediation Services (JAMS) or such other dispute resolution entity jointly agreed upon by the parties. Any arbitration hearing shall take place in Stamford, Connecticut. The decision of the arbitrator shall be final and binding, and the award may be entered in any court having jurisdiction over the parties. The parties consent to the jurisdiction of the courts of the state of Connecticut. The prevailing party shall be entitled to an award of its reasonable attorneys' fees and costs, in addition to an award of damages or other relief, if any.

**24. Survival.** Sections 4 to 12, 17, 22, 23 and 24 shall survive any expiration or termination of this Agreement.

The parties have caused this Agreement to be executed by their authorized representatives, to be effective on the Effective Date.

GARTNER, INC.

\_\_\_\_\_  
Authorised Signatory

\_\_\_\_\_  
Date

NEW YORK CITY HOUSING DEVELOPMENT CORPORATION

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title

**IF USING A DIGITAL SIGNATURE, PLEASE CONFIRM THE FOLLOWING AS A CONDITION OF CONTRACT EXECUTION:**

[ ] By ticking this box, I agree that by affixing my digital signature hereunder I am attesting that: (i) this is my own personal legal signature; and (ii) I am a duly authorised signatory for my company. My signature verifies that the information provided to Gartner hereunder is subscribed by me, under penalty of false statement and material breach of contract.

