

THE PORT AUTHORITY OF NY & NJ

PROCUREMENT DEPARTMENT
4 WORLD TRADE CENTER
150 GREENWICH STREET, 21ST FLOOR
NEW YORK, NY 10007

REQUEST FOR INFORMATION

**TITLE: BUSINESS PARTNER INTELLIGENCE AND RISK-BASED
THIRD PARTY DUE DILIGENCE**

NUMBER: 55043

RESPONSE DUE DATE: November 8, 2018

BUYER NAME: Krystina Papasavvas
PHONE #: (212) 435-4607
EMAIL: kpapasavvas@panynj.gov

1. GENERAL INFORMATION: THE PORT AUTHORITY OF NEW YORK AND NEW JERSEY, PATH RAIL SYSTEM

The Port Authority of New York and New Jersey (the “Port Authority” or the “Authority”) is a body corporate and politic created by the States of New York and New Jersey with the consent of the Congress of the United States. The Port Authority, together with its wholly-owned subsidiaries, including the Port Authority Trans-Hudson Corporation (“PATH”), provides the region with integrated transportation and trade services and operates facilities in connection therewith, including, but not limited to, four major regional airports, four bridges and two tunnels that serve interstate traffic, a bus terminal, a bus station, the PATH rapid transit system, the Hoboken-lower Manhattan ferry service, the World Trade Center site and certain New York - New Jersey port facilities.

For background on The Port Authority of New York and New Jersey (the “Port Authority”) and PATH, see www.panynj.gov. Additionally, the most recent electronic version of the Port Authority’s Annual Report is available at <http://www.panynj.gov/corporate-information/annual-reports.html>

2. OVERVIEW

Business integrity and responsibility is of the utmost importance to the Port Authority when determining whether to do business with an entity. The Port Authority currently undertakes certain due diligence processes prior to engaging with business partners to ensure that they are responsible with regard to matters of honesty, business integrity and compliance with the law. The Port Authority utilizes technology, subscription services and certain off-the shelf tools in order to perform due diligence and now seeks to determine what products or services are available to augment or increase the efficiency of this function.

The Port Authority may initiate a procurement related to Business Partner Intelligence and Due Diligence Products as a result of the information received pursuant to this Request for Information (RFI).

The Port Authority will not preclude firms or organizations who do not respond to this RFI, nor will it preclude firms or organizations who do respond to this RFI, from participating in any future procurements related to these products or services.

3. PROJECT SUMMARY

The Port Authority of NY & NJ is seeking information on technology, products and systems related to business partner intelligence and risk-based third party due diligence.

4. GOALS AND OBJECTIVES OF THIS RFI

The goal of this RFI is to seek information on technology, products and services (“System”) that can be used in a business intelligence/risk-based third party due diligence process. Specifically, the Port Authority is looking for information related to the following questions below:

1. Does your firm conduct risk-based third party due diligence of companies and individuals (ex: principals of firms)?
2. Does your firm have an active government contract? If so, with which government agency?
3. Would your firm be interested in, and able to conduct, such risk-based third party due diligence for the Port Authority?
4. How long would it take to complete risk-based third party due diligence, and to provide the results to the Port Authority?
5. What due diligence checks are conducted for companies? What due diligence checks are conducted for the backgrounds of individuals (ex: principals of firms)?
6. What resources are utilized/consulted? (ex: criminal records, tax records, web search, pending lawsuits, OSHA, other databases)
7. What is the cost for a company due diligence check? For an individual due diligence check?
8. Are there any additional or associated costs?
9. Does your firm provide analysis of results (ex: identifying cautions or flagging items)? Are there varying levels of analysis available? What are the associated costs?
10. Does your firm offer continuous monitoring? What are the associated costs?
11. How does your firm store the information gathered through the due diligence checks and provided to the Port Authority?
12. How long does your firm retain records and files for each of the due diligence checks? How long are these accessible after contract termination?

5. SUBMISSION OF INFORMATION

The Port Authority intends to review responses on an ongoing, rolling basis, as submissions are received. The final date and time for submission (“Final Submission Date”) are each set forth on the cover of this RFI.

Each Respondent shall EMAIL a .PDF copy of its response to Krystina Papasavvas by the due date and time conveyed on the cover page of this RFI. The subject line should clearly indicate the transmission is in response to the RFI for Business Partner Intelligence and Due Diligence and include the RFI number #55043 listed on the cover page. Exclude any images in your response that could complicate the easy dissemination of your response.

The Response shall also include or identify:

- A. Transmittal Letter / Executive Overview

1. The name, address, homepage URL and Federal Employer Identification Number of the Respondent;
 2. Contact information (name, title, email, telephone number) of the individual who shall act as the Respondent's contact with the Port Authority for further information requests and future solicitations, if any. In addition, at any time after the opening of the responses to the RFI, the Port Authority may request additional information relating to the Respondent's qualifications and will use this individual as the point of contact for these queries.
 3. A brief description of the Respondent, its lines of business, organization, mission, affiliates, objectives, location, years in business under its present business name, and a list of previous business names used, if any.
- B. A signed copy of *Attachment A* (Agreement on Terms of Discussion) attached hereto.
- C. Responses to questions identified in Section 4 – Goals and Objectives of this RFI.
- D. A description of the Respondent's experience in providing systems or technologies or performing services related to business intelligence or risk-based third party due diligence of corporate entities. Provide a client list identifying or describing the following:
1. Client
 2. A description of the scope of services
 3. Contract timeframe (beginning/end)
 4. Value of Contract
- E. A description of the Respondent's system and its features. Please indicate which are standard and which are associated with additional cost.
- F. Please provide information about the cost pricing model for your system or service and include any additional or optional relevant services.
- G. Case Study:
- Provide two case studies (one page each) demonstrating how the system was, deployed. Describe the particular environment; any obstacles to implementing the system and how those obstacles were surmounted; the timeline to implement, the System, inclusive of design, construction, installation and start of operation; and any 'lessons, learned' from each project. Also indicate who the client contact would be for each of those case studies.
- H. Sample Report:
- Provide a sample report demonstrating what the results of your firm's due diligence check would look like. If your firm's product offers analysis, please provide an example of the analysis.

6. QUESTIONS AND COMMUNICATIONS REGARDING THIS RFI

All communications concerning this RFI should be directed to the Buyer listed on the cover page. All questions regarding this RFI should be submitted by email to the Buyer at the email address listed on the cover page no later than **November 1, 2018**.

The Buyer is authorized only to direct the attention of prospective Respondents to various portions of this RFI so that they may read and interpret such portions themselves.

Neither the Buyer nor any other employee of the Port Authority is authorized to interpret the provisions of this RFI or give additional information as to its requirements. If interpretation or other information is required, it will be communicated to Respondent by written addenda and such writing shall form a part of this RFI.

7. CONFERENCE / MEETING

At any time after the receipt of responses, Respondents may be asked to attend an informal discussion with staff of the Port Authority regarding further clarification of the response and/or for additional information. Any such informal discussion will last for two (2) hours and consist of roughly one hour for a presentation by the vendor and demonstration of the app, and one hour for questions/answers. Selection of such firms, if any, will be at the sole discretion of the Port Authority based on review of submitted material and other information gathering. To facilitate the free flow and exchange of ideas and information, the Port Authority intends to meet with Respondents separately. The Port Authority will communicate the date, time, place and objectives of such conference in due course.

Note: The Port Authority may schedule and hold individual conferences with select Respondents on a 'rolling basis,' as responses are received by the Port Authority, which may be prior to the Final Submission Date.

8. PRODUCT PILOT

The Authority may request that any respondent(s) demonstrate their proposed product functionality through a no-cost pilot. The requirements and details surrounding each and any pilot exercise, shall be determined at the time of such request. The Authority may establish and request insurance requirements and the execution of the Authority's Pilot Agreement from the provider prior to the commencement of any pilot exercise.

9. GENERAL

- A. The Port Authority reserves the right to conduct interviews, issue a solicitation for a proposal, or to perform none of the above.
- B. The Port Authority reserves the unqualified right in its sole and absolute discretion to choose to accept or reject any and all firms responding to this RFI on the basis of an

evaluation of the responses to the RFI. The Port Authority also reserves the unqualified right to request further information from any Respondent.

- C. Neither the expression of your organization's interest, nor the submission of your response to the RFI and any documents or other information supplied by you, nor any correspondence, discussions, meetings or other communications between your organization and the Port Authority, shall impose any obligation on the Port Authority. The Port Authority shall have no obligation to any Respondent. Costs of participation or information preparation are not compensable or reimbursable by the Port Authority.

ATTACHMENT A: AGREEMENT ON TERMS OF DISCUSSION

The Port Authority's receipt or discussion of any information (including information contained in any proposal, vendor qualification(s), ideas, models, drawings, or other material communicated or exhibited by us or on our behalf) shall not impose any obligations whatsoever on the Port Authority or entitle us to any compensation therefor (except to the extent specifically provided in such written agreement, if any, as may be entered into between the Port Authority and us). Any such information given to the Port Authority before, with or after this Agreement on Terms of Discussion ("Agreement"), either orally or in writing, is not given in confidence. Such information may be used, or disclosed to others, for any purpose at any time without obligation or compensation and without liability of any kind whatsoever. Any statement which is inconsistent with this Agreement, whether made as part of or in connection with this Agreement, shall be void and of no effect. This Agreement is not intended, however, to grant to the Port Authority rights to any matter, which is the subject of valid existing or potential letters patent.

Any information (including information contained in any proposal, vendor qualification(s), ideas, models, drawings, or other material communicated or exhibited by us or on our behalf) provided in connection with this RFI is subject to the provisions of the Port Authority Public Records Access Policy adopted by the Port Authority's Board of Commissioners, which may be found on the Port Authority website at: <http://corpinfo.panynj.gov/documents/Access-to-Port-Authority-Public-Records/>. The foregoing applies to any information, whether or not given at the invitation of the Authority.

(Company)

(Signature)

(Title)

(Date)

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DO NOT RETYPE.