



**Governor's Office of  
Storm Recovery**

**ANDREW M. CUOMO**  
Governor

**HOUSING TRUST FUND CORPORATION**

**Request for Proposals ("RFP")**

**for**

**Community Development Block Grant-Disaster Recovery (CDBG-DR)**

**Environmental Review, Surveys & Assessments, and Testing Services**

**RFP # 201803\_066**

**April 24, 2018**

**Responses must be received by  
3:00 p.m. (Eastern), May 21, 2018**

# Table of Contents

1.	OVERVIEW OF THE REQUIREMENT .....	4
2.	BACKGROUND INFORMATION .....	4
2.1	Anticipated Contract Term .....	4
3.	RFP PROCESS AND ADMINISTRATIVE REQUIREMENTS .....	4
3.1	RFP Coordinator .....	4
3.2	RFP Timeline .....	5
3.3	Pre-Proposal Conference and Questions.....	5
3.4	Procurement Lobbying Provisions.....	5
3.5	Conflicts of Interest.....	6
3.6	Submission Format .....	7
3.7	Changes to Proposal Wording .....	8
3.8	Respondent’s Errors and Omissions .....	8
3.9	Respondent’s Expenses.....	8
3.10	Selection of Proposal in Best Interests of the State .....	8
3.11	Notice of Selection.....	8
3.12	Number of Awards.....	8
3.13	Service Level Agreements .....	9
3.14	Withdrawal of Proposal .....	9
3.15	Rejection of Proposals / Cancellation of RFP.....	9
3.16	Ownership of Proposals .....	9
3.17	Waiver of Informalities.....	9
3.18	Proprietary Information .....	9
3.19	Confidentiality of Information.....	10
3.20	Collection and Use of Personal Information.....	10
3.21	RFP and Proposal as Part of Contract.....	10
4.	SERVICES .....	10
4.1	Scope of Services .....	10
4.1.2	Task 2 – Environmental Surveys & Assessments.....	12
4.1.3	Task 3 – Environmental Testing.....	13
4.2	Commencement of Services .....	15
4.3	Key Deliverables.....	15
4.4	Required Minimum Qualifications of Respondent .....	17
5.	SELECTION CRITERIA AND REQUIREMENTS .....	19
5.1	Evaluation Methodology.....	19
5.2	Cover Letter and Table of Contents.....	20
5.3	Executive Summary .....	20
5.4	Project Experience and Capacity .....	20
5.5	Key Personnel .....	22
5.6	Approach and Methodology .....	23

5.7	Commitment to Complying with all Applicable Regulations.....	23
5.8	Price Proposal .....	27
5.9	Finalist Interview .....	28
5.10	Basis for Contract Award.....	29
5.11	Vendor Responsibility .....	29
5.12	Affirmation of Understanding.....	29
5.13	Offeror Disclosure of Prior Non-Responsibility Determinations .....	30
5.14	Non-Collusive Bidding Certification .....	30
5.15	Requirements of Legal Entities.....	30
5.16	General Federal Grant Requirements.....	30
5.17	HUD General Provisions .....	30
5.18	Standard Clauses for Contracts with HTFC.....	30
5.19	Iran Divestment Act.....	31
6.	ATTACHMENTS AND APPENDICES .....	32

## **1 OVERVIEW OF THE REQUIREMENT**

The Governor’s Office of Storm Recovery (“GOSR”) of the Housing Trust Fund Corporation (“HTFC”) seeks to procure Environmental Review, Surveys & Assessments, and Testing Services in connection with its administration of U.S. Department of Housing and Urban Development (“HUD”) Community Development Block Grant-Disaster Recovery (“CDBG-DR”) funds appropriated by the Disaster Relief Appropriations Act, 2013 (Pub. L. 113-2). This request for proposals (“RFP”) is issued in accordance with the Procurement and Contract Guidelines of GOSR and in compliance with [Section 2879a of the New York Public Authorities Law](#).

The purpose of this RFP is to obtain proposals from Respondents and to award contract(s) to provide Environmental Review, Surveys & Assessments, and Testing Services across a broad range of CDBG-DR funded programs managed by GOSR. These services are detailed in section 4 of this RFP. Respondents to this RFP should thoroughly review the New York State Action Plan for Community Development Block Grant Disaster Recovery and all amendments thereto, as well as all Federal Register notices related to the CDBG-DR funds. The Action Plan and all amendments are located on the GOSR website at: <http://stormrecovery.ny.gov/funding/action-plans-amendments>.

## **2 BACKGROUND INFORMATION**

The Environmental Review, Surveys & Assessments, and Testing Services to be procured through this RFP will support the implementation and administration of a broad range of programs for which CDBG-DR funds will be used including, but not limited to, housing grant and loan programs, business grant and loan programs, and a variety of community reconstruction and infrastructure development projects performed by municipalities, agencies, and other organizations that will help administer funds.

### **2.1 Anticipated Contract Term**

Any contract that is awarded from the RFP is anticipated to be for an initial period of two (2) years, with two (2) one-year options. GOSR reserves the right to determine/change the length of the initial contract term and each option to renew, as well as extension options.

## **3 RFP PROCESS AND ADMINISTRATIVE REQUIREMENTS**

### **3.1 RFP Coordinator**

Shin Kim  
Chief Procurement Officer  
Governor’s Office of Storm Recovery  
25 Beaver Street  
New York, New York 10004

### 3.2 RFP Timeline

Target Date	Event
April 24, 2018	Release of RFP
April 30, 2018	Anticipated Pre-Proposal Teleconference
May 2, 2018	Last Day to Submit Questions – <b>3:00 p.m. (Eastern)</b>
May 7, 2018	Issuance of Answers to Questions (tentative)
May 21, 2018	Proposal Submission Deadline – <b>3:00 p.m. (Eastern)</b>
June 2018	Finalist Interviews (if applicable)
June 2018	Target Date for Selection

Please note that the RFP timeline includes target dates and may change. It is the sole responsibility of Respondents to periodically review the GOSR website for regular updates to the RFP which may alter the terms or requirements of this RFP.

### 3.3 Pre-Proposal Teleconference and Questions

A pre-proposal teleconference will be scheduled to discuss this RFP, accept questions, and provide preliminary responses. GOSR is in the process of scheduling the teleconference and will post an update to the Governor’s Office of Storm Recovery “Procurement Opportunities” webpage at: <http://stormrecovery.ny.gov/doing-business-with-gosr/rfps> as soon as practicable prior to the scheduled date.

Interested firms are strongly encouraged to check the “Procurement Opportunities” webpage frequently for updates and additional information pertaining to this RFP. All questions and correspondence must be sent to [GOSRProcurement@stormrecovery.ny.gov](mailto:GOSRProcurement@stormrecovery.ny.gov). All questions must reference this specific RFP in the subject line of the email. For example, the subject line for questions related to this RFP should read **RE: RFP Question – Environmental Review, Surveys & Assessments, and Testing Services**. Any correspondence or questions sent to any other email address regarding this RFP will not receive a response.

It is the sole responsibility of the Respondent to check for any addenda and/or additional information on the “Procurement Opportunities” webpage.

<http://stormrecovery.ny.gov/doing-business-with-gosr/rfps>

### 3.4 Procurement Lobbying Provisions

Pursuant to State Finance Law §§ 139-j and 139-k, this RFP includes and imposes certain restrictions on communications between GOSR and Respondents during the solicitation

process. A Respondent is restricted from making contacts from the earliest notice of intent to solicit offers through final award and approval of the contract (the “Restricted Period”) with GOSR staff other than the RFP Designated Contact Officer, unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a).

In accordance with § 2879 of the Public Authorities Law, GOSR is required to make a responsibility determination with respect to each vendor to whom a contract is to be awarded. The Lobbying Law requires that proposed vendors disclose findings of non-responsibility against them by any other governmental agency within the previous four (4) years. Certain findings of non-responsibility can result in a rejection for contract award and, in the event of two (2) findings within a four-year period, the Respondent will be rendered ineligible (debarred) to submit a proposal for, or be awarded, any procurement contract for a period of four (4) years from the date of the second final determination of non-responsibility. Contacts by GOSR employees who are required to obtain information in furtherance of the Responsibility Determination are considered “permissible contacts” under the NYS Finance Law § 139 (j)(3)(a)(8). Further information about these requirements can be found on the Office of General Services website at:

[http://ogs.ny.gov/aboutOgs/regulations/defaultSFL\\_139j-k.asp](http://ogs.ny.gov/aboutOgs/regulations/defaultSFL_139j-k.asp)

For all lobbying law contacts and inquiries, please contact:

Natalie Denny  
Lobbying Contact Officer  
Governor’s Office of Storm Recovery  
[GOSRProcurement@stormrecovery.ny.gov](mailto:GOSRProcurement@stormrecovery.ny.gov)  
Email must indicate subject: **RE: Lobbying Inquiry**

### **3.5 Conflicts of Interest**

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

In the event of real or apparent of conflicts of interest, GOSR reserves the right to impose additional conditions upon Respondents. The selected Respondent will be subject to the provisions on conflicts of interest set forth in section 74 of the New York State Public Officers Law. Contractor shall immediately inform GOSR in writing of actual or potential conflict of interest that arises under a contract. GOSR reserves the right to cancel any contract awarded pursuant to this RFP upon 30 days written notice in the event that an actual conflict of interest, or the appearance of such conflict, is not cured to GOSR’s satisfaction.

### **3.6 Submission Format**

Submissions to this RFP must be filed electronically in Portable Document Format (pdf) file. Unless otherwise noted, Respondents must complete and submit all forms, information, and other documentation listed herein (including, without limitation, any Attachments and Appendices to this RFP) as part of their electronic submissions. Respondent is responsible to ensure that emails and attachments are delivered in a legible format. Only complete and responsive Proposals will be evaluated. In all instances, GOSR's determination regarding the completeness/responsiveness of any Proposals shall be final.

**Proposals must be submitted by email to:**  
**[GOSRProcurement@stormrecovery.ny.gov](mailto:GOSRProcurement@stormrecovery.ny.gov)**

Proposals must be delivered by email in two parts no later than the Proposal submission deadline. Part one shall include the Price Proposal. The email subject shall indicate **RE: Proposal for Environmental Review, Surveys & Assessments, and Testing Services – Price Proposal**. Part two shall include the Technical Proposal along with all attachments and completed forms. The email subject shall indicate **RE: Proposal for Environmental Review, Surveys & Assessments, and Testing Services – Technical Proposal and Attachments**.

Proposals that can only be viewed, downloaded, or otherwise accessed via file sharing, file hosting, or other file storage platforms cannot be accepted.

There is a 40-page total limit except that résumés, curricula vitae, appendices that document relevant work performed, and screen shots of potential project management systems do not count against the page limit. Proposal font size shall not be any less than 12 point, with 1-inch margins, with the exception of tables and charts, but such text must be clearly legible. Respondents are encouraged to submit only relevant and necessary information.

The Respondent shall not make any aspect of its proposal contingent upon the use of State of New York personnel, property, or equipment.

GOSR will consider Proposals to this RFP which are submitted in a consistent and easily comparable format. Proposals not organized in the manner set forth in this RFP may be considered nonresponsive at the sole discretion of GOSR. Respondents should not refer to other parts of their submission to information that may be publicly available elsewhere, or to the Respondent's website or any other website, in lieu of presenting the information in the Proposal.

Any Proposal delivered after the submission deadline will not be evaluated. Delivery delays shall not excuse late submissions. Respondents are responsible for ensuring that emails/attachments are delivered on time in a legible format. Complete Proposals, including

all parts, must be received by the deadline in order for a Proposal to be considered timely. Respondents assume all risks associated with delivery. In all instances, GOSR's determination regarding the completeness and timeliness of any Proposals shall be at the sole discretion of GOSR and shall be final.

### **3.7 Changes to Proposal Wording**

The Respondent shall not change the wording of its Proposal after the submission and no words or comments will be added to the Proposal unless requested by GOSR for purposes of clarification.

### **3.8 Respondent's Errors and Omissions**

GOSR reserves the right to reject a submission that contains an error or omission. GOSR also reserves the right to request correction of any errors or omissions and/or to request any clarification or additional information from any Respondent, without opening up clarifications for all Respondents. Respondents will be provided a reasonable period of time in which to submit written responses to GOSR's requests for clarification or additional information. Respondents shall respond by the deadline stated in the correspondence.

### **3.9 Respondent's Expenses**

Respondents are solely responsible for their own expenses in preparing a Proposal and for subsequent negotiations with GOSR, if any. GOSR will not be liable to any Respondent for any claims, costs or damages incurred by the Respondent in preparing the Proposal, loss of anticipated profit in connection with any final Contract, or any other matter whatsoever.

### **3.10 Selection of Proposal in Best Interests of the State**

Notwithstanding the selection criteria set forth in the RFP, GOSR reserves the right to select a Proposal that, in its sole judgment, is consistent with and responsive to the goals of the State's CDBG-DR Action Plan, irrespective of whether it is the apparent lowest-priced Proposal, if it is determined by GOSR and the Commissioner of NYS HCR to be in the best interests of the State of New York.

### **3.11 Notice of Selection**

The selected Respondent(s) will be issued a Notice of Intent to Award, via email.

### **3.12 Number of Awards**

At the sole discretion of GOSR, and based upon the breadth and experience of Respondents to this RFP, GOSR may award contracts to more than one Respondent.

GOSR currently anticipates awarding up to five (5) vendors per Task pursuant to this RFP. GOSR intends on creating a pool of contractors by Task to support the requirements outlined in this RFP. For assignment of work, GOSR intends on conducting mini-bid solicitations amongst the selected contractors and may seek fixed unit prices and lump sum prices for



specific types of work. GOSR reserves the right to deviate from this approach if in the best interest of the State.

GOSR intends on allocating work via use of task orders.

Nothing in this section shall be construed to limit in any way GOSR's right, in its sole discretion, to cancel this RFP.

### **3.13 Service Level Agreements**

GOSR expects to select Respondent(s) that will agree to a clearly-defined service level agreement ("SLA"), as yet to be determined but to be included in any final contract between the parties. Such SLA will be established and agreed upon to ensure a timely, efficient, equitable, and transparent recovery process. Fees payable under this contract will be contingent upon compliance with the terms of the SLA and other pre-agreed metrics for success. GOSR reserves the right to cancel any contract awarded pursuant to this RFP, or withhold payment of funds under any contract awarded pursuant to this RFP, for failure to adhere to the SLA.

### **3.14 Withdrawal of Proposal**

A Respondent may withdraw a Proposal at any time up to the date and time that the contract is awarded. The withdrawal must be submitted in writing to the RFP Coordinator.

### **3.15 Rejection of Proposals / Cancellation of RFP**

Issuance of this RFP does not constitute a commitment by GOSR to award a contract. GOSR reserves the right to accept or reject, in whole or in part, all Proposals submitted and/or to cancel this solicitation and/or reissue this RFP or another version of it, if it determines that doing so is in the best interest of the impacted communities or the State of New York.

### **3.16 Ownership of Proposals**

All documents, including Proposals submitted to GOSR, become the property of GOSR. They will be received and held in confidence by GOSR, subject to the provisions of the *Freedom of Information Law*. Selection or rejection of a Proposal does not affect this provision.

### **3.17 Waiver of Informalities**

GOSR reserves the right to waive any informalities and/or irregularities in a Proposal if it determines that doing so is in the best interest of the impacted communities or the State of New York.

### **3.18 Proprietary Information**

Only information considered trade secrets or non-published financial data may be classified as proprietary or confidential. Such information within the Proposal must be clearly marked. Proposals containing substantial contents marked as confidential or proprietary may be

rejected by GOSR. Provision of any information marked as confidential or proprietary shall not prevent GOSR from disclosing such information if required by law. The awarded contract(s), and all prices set forth therein, shall not be considered confidential or proprietary and such information may be made publicly available.

### **3.19 Confidentiality of Information**

Information pertaining to GOSR obtained by the Respondent as a result of participation in this RFP is confidential and must not be disclosed without written authorization from GOSR.

### **3.20 Collection and Use of Personal Information**

Respondents are solely responsible for familiarizing themselves and ensuring that they comply with the laws applicable to the collection and dissemination of information, including resumes and other personal information concerning employees and employees of any subcontractors. If this RFP requires Respondents to provide GOSR with personal information of employees who have been included as resources in Proposal to this RFP, Respondents will ensure that they have obtained written consent from each of those employees before forwarding such personal information to GOSR. Such written consents are to specify that the personal information may be forwarded to GOSR for the purposes of responding to this RFP and use by GOSR for the purposes set out in the RFP. GOSR may, at any time, request the original consents or copies of the original consents from Respondents, and upon such request being made, Respondents will immediately supply such originals or copies to GOSR.

### **3.21 RFP and Proposal as Part of Contract**

This RFP, as well as any related solicitation documents such as Addenda and Questions & Answers, and the selected Respondent's Proposal will become part of any contract between GOSR and the Respondent. In the event that the terms of the RFP and related documents or Proposal conflict with the contract, the contract terms shall control.

## **4 SERVICES**

### **4.1 Scope of Services**

The scope of services identified below is intended to ensure that Environmental Review, Surveys & Assessments, and Testing Services are available to aid GOSR programs and departments in the analysis of potential environmental impacts presented by various projects, consult with regulators to implement the regulations set forth in 24 CFR Part 58 HUD Environmental Reviews, and to assist in the preparation of various reports, forms and studies as identified in the four tasks outlined below. The scope of Environmental Review, Surveys & Assessments, and Testing Services to be provided by the Respondent(s) are summarized in the following Tasks 1 - 4.

**GOSR intends on creating a pool of contractors by Task to support the requirements outlined in this RFP. For assignment of work, GOSR intends on conducting mini-bid solicitations amongst the selected contractors and may seek fixed unit prices, lump sum**

**prices or other pricing structures for specific types of work/specific projects. GOSR reserves the right to deviate from this approach if in the best interest of the State.**

**Respondents may submit Proposals for consideration to any individual Task or any combination of Tasks or all four (4) Tasks identified below. If proposing on Task 2 and/or Task 3, Respondent must propose on all subtasks within the Task; Respondent may not propose on select subtasks of a given Task, where there are subtasks.**

#### **4.2 Task 1 – Environmental Review**

The specific services of the Respondent required under this task include, but are not limited to, initiating meetings with GOSR staff and any project partners. For each project, Respondent will conduct environmental reviews (including required publication of notices) on an as-needed basis in accordance with the required level of clearance. Environmental reviews must, at a minimum, comply with the requirements of the Disaster Relief Appropriations Act of 2013, the National Environmental Policy Act (including implementing regulations at 40 CFR Part 1500 and 24 CFR Part 58) and the State Environmental Quality Review Act (“SEQRA”) (including implementing regulations at 6 NYCRR Part 617), along with any local environmental review requirements. For each project, the Respondent will create an Environmental Review Record (“ERR”) meeting the above legal requirements and documenting GOSR’s review and compliance with the related federal authorities listed in 24 CFR §§ 58.5 and 58.6. Review of activities proposed in the City of New York must also adhere to City Environmental Review (“CEQR”) procedures and the CEQR Technical Manual.

For each project, the Respondent will assess the feasibility of the proposed project in relation to the required level of environmental review and make a recommendation to GOSR as to the appropriate level of review (e.g. Environmental Impact Statement, Environmental Assessment, Categorically Excluded, etc.). At any time that the Respondent has evidence that a further level of environmental review is needed or that additional assessments or studies are required, the Respondent will so advise GOSR in writing as expeditiously as possible. The Respondent will be responsible for coordinating with the project sponsor and the oversight/regulatory agencies to assure permits and/or compliance documentation is obtained for each ERR.

This task requires the Respondent to have the capability to evaluate potential environmental impacts of proposed activities in the following substantive areas: land use, zoning, and public policy (including waterfront revitalization program/coastal zone policies); socioeconomic conditions (including population, housing stock and economic activities such as business and employment); community facilities and services (e.g., public or publicly-funded schools, hospitals, libraries, day care centers, and fire and police protection); open space (e.g., land designated for leisure, play, or sport, or land set aside for the protection and/or enhancement of the natural environmental); shadows; historic resources (including historic districts, buildings, structures, sites, and objects of historical, aesthetic, cultural, and archaeological

importance); urban design and visual resources; natural resources (including, as appropriate, impacts to plant and animal species, habitat areas, ecological systems, surface and ground waters, soils, wetlands, drainage systems, dunes, beaches, grasslands, woodlands, landscaped areas, gardens, parks, and built structures used by wildlife); hazardous materials assessment; infrastructure (e.g. water supply, wastewater, sanitation, energy, roadways, bridges, tunnels, and public transportation); solid waste and sanitation services; energy; transportation, including traffic and parking (traffic flow and operating conditions, parking conditions, goods delivery, and vehicular and pedestrian safety), transit (rail, subway and bus facilities and services), and pedestrians (pedestrian flow and conditions); air quality (mobile and stationary source assessment); greenhouse gas emissions; noise (mobile, stationary and construction noise assessment); public health; neighborhood character; environmental justice; construction impacts; and alternatives to the proposed activities.

The following activities are included in this task, as may be required by GOSR on a project-by-project basis:

- a) Maintain contact list of governmental and non-governmental stakeholders.
- b) Mail, email and otherwise distribute legal notices to interested stakeholders.
- c) Arrange for publication of legal notices in newspapers to reach members of the public likely to have an interest in the proposed project.
- d) Assist GOSR in summarizing comments and preparing responses to comments as necessary.
- e) Create and coordinate summary reports to update GOSR on each project's status and compliance on environmental review requirements.
- f) Perform any other duty that relates to 24 CFR Part 58 HUD Environmental Reviews and other environmental requirements.

### **4.3 Task 2 – Environmental Surveys & Assessments**

The specific services of the Respondent required under this task include, but are not limited to the completion of environmental site assessments, wetland delineations and evaluations.

#### **Subtask A – Environmental Site Assessments:**

- i. Perform hazardous materials environmental site assessments (“ESAs”) and prepare hazardous waste remediation plans.
- ii. Perform documentary research.
- iii. Perform field observations and testing to determine if a project site is contaminated from past or present on-site and/or off-site activities, including, at a minimum, undertaking Phase I and Phase II ESAs consistent with applicable American Society for the Testing of Material protocols.
- iv. Where contamination is present, identify the appropriate mitigation measure, the contaminant of concern and the location of the contamination.

**Subtask B – Wetland Delineations and Evaluations:**

- i. Conduct a map review prior to performance of field work including but not limited to, United States Geological Survey (USGS) topographic map(s), aerial photography, the any available soil survey(s), National Wetland Inventory (NWI) map(s) and New York State Department of Environmental Conservation (NYSDEC) Freshwater Wetland map(s).
- ii. Conduct the necessary field work to complete wetland field screening(s) and delineation(s) within the identified project site(s).
- iii. Prepare wetland data sheets and take photographs to support the screening and delineation efforts.
- iv. Delineate any and all observed wetlands in accordance with the procedures outlined in the 1987 Corps of Engineers Wetland Delineation Manual and the Northeast Regional Supplement, or as otherwise requested by GOSR.
- v. Flag the boundaries of wetlands observed using high resolution, GIS-grade GPS methods to prepare digital maps and figures.
- vi. As requested by GOSR, perform wetland function and value assessments of wetlands to evaluate project impacts and/or benefits to wetlands.

**4.4 Task 3 – Environmental Testing**

The specific services of the Respondent under this task include the performance of inspections and risk assessments for asbestos, radon and lead-based paint in accordance federal and state regulatory standards.

**Subtask A – Asbestos Testing:**

Asbestos testing services consist of the survey, identification and assessment of the condition of asbestos and asbestos containing material (“ACM”), the recording and reporting thereof, and the collection of bulk samples of asbestos or suspected ACM for laboratory analysis. In providing these services, the Respondent is required to adhere to the regulations promulgated by the New York State Department of Labor (“NYS DOL”) at 12 NYCRR Part 56. The Respondent is expected to be fully familiar with these regulations, as well as related federal regulations such as 40 CFR Part 763 (Asbestos Containing Material in Schools), 40 CFR Part 1926.1101 (Construction) and 40 CFR Part 61 (Subpart M) (Hazardous Air Emissions), as may be applicable. Asbestos testing services in New York City are also required to comply with Title 15, Chapter 1 of the Rules of the City of New York.

Testing for ACM requires the Respondent to deploy a NYSDOL-certified asbestos inspector. The inspector will perform asbestos surveys consisting of both visual

and written inspection of the location, quantity, friability, condition of suspected ACM and the collection of samples from suspected ACM utilizing sampling methods found in 12 NYCRR Part 56 and 40 CFR 763. The Respondent will take photographs deemed necessary by the inspector to document the location and condition of suspect ACM. The Respondent will not be responsible for repair or finishing activities resulting from survey and testing activities. Suspected ACM that cannot be sampled due to site conditions will be presumed to contain asbestos. Presumed ACM will then be sampled prior to construction activities once the hazard has been abated. If testing results indicate suspected material is ACM, the material will be treated accordingly. If ACM is to be disturbed in connection with GOSR-funded activities, it must be conducted under the supervision of a NYSDOL certified contractor pursuant to applicable Federal, State and local regulations.

**Subtask B – Radon Testing:**

Radon testing will be performed for all dwellings located in Zones 1 and 2 of the EPA map for Radon in the State of New York for which GOSR Housing Assistance is requested. If the results of an individual short term test indicate 4 pCi/L or higher, follow-up with either a long-term test or a second short-term test is required. If a long-term test or a second short-term test is conducted and the result is 4pCi/L or higher, the Respondent will assist in the design of the project to mitigate radon impacts in the dwelling. For this subtask, the Respondent must adhere to testing protocols and mitigation standards referenced in HUD Notice H 2013-03 (January 31, 2013) and testing must be conducted under the supervision of a “Radon Professional” as set forth in the HUD Notice. Radon testing may be performed using commercially available test kits consisting of charcoal canisters, alpha-track detectors, charcoal liquid scintillation devices, and electret ion chamber detectors. These devices are exposed to the air in the home for a specified period of time (typically 2 to 7 days) and then sent to a laboratory for analysis.

**Subtask C – Lead Testing:**

All lead-based paint testing and clearance examinations will be performed by an EPA Certified Lead-based Paint Activities Firm utilizing an EPA Certified Lead-based Paint Inspector or Risk Assessor in compliance with 24 CFR Part 35. For Lead-Based Paint, testing will include visual assessment and collection of environmental samples for deteriorated paint film(s), settled dust-lead and soil-lead determinations. Deliverable will be furnished within 5 business days of “on-site” completion shall include Lead (Pb) Risk Assessment Reports and Notices of Risk Assessment with Summary (24 CFR § 35.125). These deliverables will be provided to GOSR in electronic and hard copy form.

**4.5 Task 4 – Historic and Archaeological Studies**

The specific services of the Respondent required under this task include, but are not limited to, the completion of historic and archaeological surveys.

Services under this subtask must be performed by an individual who meets the Secretary of Interior's Professional Qualification Standards. Such services include, but are not limited to, the following:

- i. Perform historic and archaeological surveys necessary to assure GOSR's compliance with Sections 106 and 110(k) of the National Historic Policy Act and implementing regulations at 36 CFR Part 800.
- ii. Assist with development of Programmatic Agreements as needed.

For activities in New York City, Respondent must also assure compliance with the New York City Landmarks Preservation Law.

#### **4.6 Commencement of Services**

Selected Respondents must be prepared to commence these services within thirty (30) days of the issuance of a Task order, at the direction of GOSR.

#### **4.7 Key Deliverables**

The key deliverables to be provided include the following, but are not limited to:

##### **a) Key deliverables for Task 1 – Environmental Review include:**

- i. As applicable, Certificates of Exempt Activity in accordance with 24 CFR 58.34; Certificates of Categorical Exclusion in accordance with 24 CFR § 58.35; Certificates of Compliance with legal authorities in 24 CFR §§ 58.5 and 58.6; Environmental Assessments; Tiered Environmental Assessments; EIS Scopes of Work; Environmental Impact Statements; and Tier II checklists in a format required by GOSR.
  1. Each such deliverable must include a concise rationale documenting environmental findings and supporting the proposed determinations
- ii. Proof of publication of all necessary public notices published in the official journal as required by 24 CFR Part 58.
  1. This includes proof of Notice of Intent / Request for Release of Funds for each program and assistance in obtaining Authorization to Use Grant Funds from HUD
- iii. Preparation of SEQRA Environmental Assessment Forms ("EAFs") with supporting technical documentation and or various technical environmental analyses.
  1. For certain New York City projects, a CEQR Environmental Assessment Statement ("EAS") may be required in lieu of a SEQRA Environmental Assessment Form

**b) Key deliverables for Task 2 – Environmental Surveys & Assessments include:**

- i. Preparation and submittal of Phase I ESA Reports in accordance with ASTM Standard E 1527-13; preliminary exposure assessments; and a recommended scope of work for a Phase II ESA, when applicable.
- ii. As necessary, completion of a Phase II ESA in accordance with ASTM Standard E 1903-11. The scope and objectives of the Phase II activities will be determined based on the consultations between the selected firm and GOSR, such that the Phase II activities be conducted so that the resulting scope of work is performed and the stated objectives are achieved in a scientifically sound manner.
- iii. Wetland Delineation Summary Letter(s) documenting any and all information obtained during the field investigation, including but not limited to surface water features, vegetation, soils, and hydrology descriptions for each wetland identified, and input regarding permit requirements.
- iv. Provision of figure(s) showing mapped NYSDEC and NWI wetland locations, delineated wetland boundaries, sampling point(s), and soil types. Provision of digital CADD file(s) for use in project design drawings.

**c) Key deliverables for Task 3 – Environmental Testing include:**

- i. Visual assessment and collection (subsequent analysis) of environmental samples for settled dust-lead and soil-lead determinations.
- ii. Generating all final deliverable(s) within 10 (ten) business days of “on-site” completion.
- iii. Clearance Examination Report, unless a shorter timeframe is required. Notice of Lead Hazard Reduction and Clearance with Summary (24 CFR § 35.125).
- iv. Provision of a hardcopy of the final report for the final clearance examination report to the applicant / property owner using a commercially available delivery service with delivery confirmation within 15 days of Final Deliverable(s) report date.

**d) Key deliverables for Task 4 – History and Archaeological Studies include:**

- i. Complete the necessary components of the requested Archeological Survey Report(s) prepared in accordance with the New York State Historic Preservation Office’s (“SHPO”) “State Historic Preservation Office Phase I Archeological Report Format Requirements.”



- ii. As necessary, provision of Phase II Archaeological Surveys in coordination with GOSR and SHPO ensuring that all work performed will meet any and all requirements of the SHPO.

Any other related deliverable requested and produced in the course of the contract to effectuate the services outlined in the RFP.

#### **4.8 Required Minimum Qualifications of Respondent**

The following subsections are required minimum qualifications. Respondents that are corporations, partnerships, or any other legal entity, domestic or foreign, shall be properly registered to do business in the State of New York at the time of the submission of their Proposal to this RFP. Such Respondents shall attach a certificate of good standing from the New York Secretary of State to their Proposals.

- 4.8.1 Respondent must indicate a commitment to a good faith effort to achieving HTFC's goal of 30% of any awarded job to a New York State certified Minority- and Women-owned Business Enterprise (MWBE) for each project awarded (15% to New York State-certified MBE and 15% to New York State-certified WBE). Refer to section 5.7.2.
- 4.8.2 Please note that if a Respondent is a New York State certified MWBE, it must choose whether to participate as an MBE or a WBE, as one Respondent cannot claim status as both an MBE and a WBE.
- 4.8.3 Whether the Respondent is a New York State certified MWBE, MBE, WBE or none of the aforementioned, the Respondent may achieve the goal of 30% through joint ventures, subcontracting relationships or other partnerships.
- 4.8.4 Respondent has or will have, prior to work, all necessary licenses, certifications, approvals, and other needed credentials to perform work in New York State pursuant to this RFP.
- 4.8.5 Neither Respondent nor any person or entity associated or partnering with Respondent has been the subject of any adverse findings that may prevent GOSR from selecting Respondent. Such adverse findings may include, but are not limited to, the following:
  - a) Negative findings from the New York State Inspector General, a Federal Inspector General, or from the U.S. Government Accountability Office, or from an Inspector General in another State
  - b) Pending or unresolved legal action from the U.S. Attorney General or from an attorney general in New York or another State
  - c) Pending litigation with New York State, any other State, or a municipality located in New York or another State

- d) Arson conviction or pending case
- e) Harassment conviction or pending case
- f) Local, State, Federal or private mortgage arrears, default, or foreclosure proceedings
- g) In rem foreclosure
- h) Sale of tax lien or substantial tax arrears
- i) Fair Housing violations or current litigation
- j) Defaults under any Federal, State or locally-sponsored program
- k) A record of substantial building code violations or litigation against properties owned and/or managed by Respondent or by any entity or individual that comprises Respondent
- l) Past or pending voluntary or involuntary bankruptcy proceeding
- m) Conviction for fraud, bribery, or grand larceny
- n) Listing on the Federal or State excluded parties lists

- 4.8.6 Respondent has adequate financial resources to perform the contract, or the ability to obtain them. Financial records for the past two (2) years must be included in the Proposal.
- 4.8.7 Respondent can comply with the required or proposed delivery or performance schedule, taking into consideration all existing commercial and governmental business commitments.
- 4.8.8 Respondent has a satisfactory performance record.
- 4.8.9 Respondent has a satisfactory record of integrity and business ethics.
- 4.8.10 Respondent has the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them.
- 4.8.11 Respondent has thoroughly reviewed the Disaster Relief Appropriations Act, 2013 (Pub. L. 113-2), all pertinent Federal Register notices, and the New York State Action Plan and all amendments thereto.
- 4.8.12 Respondent has established prior experience in successfully performing the scope of services requested.
- 4.8.13 Respondent and its employees hold and maintain any and all federal, state, and local licenses or certifications as required to perform the services requested.

4.8.14 Respondent is otherwise qualified and eligible to receive an award under applicable laws and regulations.

## 5 SELECTION CRITERIA AND REQUIREMENTS

### 5.1 Evaluation Methodology

GOSR will evaluate all Proposals that are received in a proper and timely manner to determine whether they meet the submission requirements. GOSR will evaluate each Proposal based on the “Best Value” concept. This means that the Proposal which “optimizes quality, cost, and efficiency among responsive and responsible respondents” shall be selected for award (State Finance Law, Article 11, § 163).

GOSR, at its sole discretion, will determine which Proposal best satisfies its requirements. All Proposals deemed to be responsive to the requirements of this RFP will be evaluated and scored for technical qualities and price. Proposals that are materially deficient in meeting the submission requirements of this RFP or have omitted material documents may be eliminated from consideration at the sole discretion of GOSR. The evaluation process will include separate technical and price evaluations and will be conducted as set forth herein.

GOSR reserves the right to award contracts based on initial proposals received, without discussions; therefore, the Respondent’s initial proposal should contain its best technical and price terms.

Proposals will be checked against the minimum qualifications. Proposals meeting the minimum requirements will be further assessed and preliminarily scored against the following selection criteria.

<b>Selection Criteria</b>	<b>Points Available</b>
Project Experience and Capacity	20
Key Personnel	20
Approach and Methodology	30
Commitment to Compliance with Regulations	10
Price	20
<b>TOTAL POINTS AVAILABLE</b>	<b>100</b>

Proposals are to be submitted in the following format and sequence to ensure that they receive full consideration during evaluations and that the evaluations themselves may be handled in an efficient and consistent manner. All pages should be consecutively numbered.

## **5.2 Cover Letter and Table of Contents**

Provide a cover letter that includes a certification that the information submitted in and with the submission is true and accurate, and that the person signing the cover letter is authorized to make the submission on behalf of the Respondent.

Provide a table of contents that clearly identifies the location of all material within the submission by section and page number.

Specify the primary contact person for the Respondent (name, title, location, telephone number, and email address).

## **5.3 Executive Summary**

Provide an executive summary including a description of the Respondent's legal status (e.g., individual practitioner, partnership, Limited Liability Company, corporation, non-profit organization, charitable institution, etc.), background, mission, an explanation of the types of services the Respondent provides that relate to this RFP, and an organizational chart.

Briefly describe any significant changes to the management and/or structure of the Respondent that are related to the work contained in this RFP, including any mergers that occurred in the last five (5) years.

Respondent shall provide financial statements for the previous two (2) years.

Submit a completed Respondent Overview form (page 1 of the Appendices for Request for Proposals) which includes the name, address, telephone, fax, and email of the Respondent and the names of all principals and staff that will be providing services, as well as all proposed subcontractors and sub-consultants. Respondents are encouraged to provide specific opportunities and partnerships with minority-and/or women-owned business enterprises.

Please also note that all subcontractors of the selected firms, prior to and after the issuance of a contract, will be subject to prior written approval by GOSR.

## **5.4 Project Experience and Capacity**

The Proposal shall include a summary of prior work engagements evidencing directly related experience to the requested RFP scope. The summary shall identify engagements in which the Respondent has performed Environmental Review, Surveys & Assessments, and Testing Services with entities comparable to New York State for which the Respondent provides, or has provided, similar services within the last (5) years. The summary shall detail at least three (3), but no more than five (5), similar engagements with private/public sector clients of similar size and complexity to the State that demonstrate direct experience with the scope of services to be provided. This must be done for each Task for which the Respondent is proposing.

Respondents who have demonstrated experience and success in providing such services will be scored higher than those who do not.

Each example should include:

- 5.4.1 Name of client organization;
- 5.4.2 Description of the engagement and project objectives, including start and end dates, and relevance of the referenced assignment to this RFP;
- 5.4.3 Information regarding the project that would demonstrate successes experienced by the client as a result of the recommendations (this may include performance metrics and improvements);
- 5.4.4 Contact information for the client organization, including current and working contact information. Contact information shall include the address, telephone number and email address.

If a Respondent will be subcontracting or partnering any portion of the work, please provide a subcontracting plan that includes the following:

- Role and experience of the Respondent in providing the requested services under the RFP;
- Summary of qualifications and experience of the relevant subcontractor/subconsultant/partner staff;
- Explanation of past engagements with proposed subcontractor/subconsultant/partner staff, if applicable;
- The estimated percentage of work to be assigned to subcontractor/subconsultant;
- The allocation of work amongst the subcontractor/subconsultant; and
- Methods of handling quality assurance and monitoring the work of subcontractor/subconsultant.

A paragraph should accompany each referenced experience describing the Respondent's role on the relevant project(s) as well as any other contextual information.

Respondent shall also provide a summary of its capacity to perform the given scope of work. This narrative should highlight the Respondent's ability to perform Environmental Review, Surveys & Assessments, and Testing Services. Respondents must clearly identify the ability to provide sufficient capacity for the efficient and timely implementation and administration of the work. Proposals that clearly demonstrate existing capacity and/or quick ramp up capabilities will be scored higher than those that do not.

References. The Proposal shall include at least three (3) references for the Respondent and for all partners, sub-consultants and subcontractors. Respondents are required to provide a reference for any disaster-related experience they list in this section. Each reference should include the name, title, company, address, phone number and email address of the reference, and a brief summary of the relationship between the reference and the Respondent.

GOSR may seek information from references regarding subjects that include, but are not limited to, the quality of services provided, anticipated ability to perform the services required in this RFP, and the responsiveness of the Respondent to the client during the engagement. Information provided by references will be used by GOSR for submission evaluation purposes. References should be available and aware of their inclusion in the Respondent's submission and pending contact.

GOSR reserves the right to attempt, or not to attempt, to re-contact or notify Respondent of its inability to connect with references in an initial effort. GOSR is not responsible for the lack of responsiveness of the references listed by Respondents, and the State is not required to alert Respondents of a reference's unresponsiveness during the submission evaluation period. Inability to contact references will not be looked upon favorably. In addition, GOSR reserves the right to contact other sources not necessarily identified in the submission to obtain information about Respondents.

GOSR reserves the right to deploy, at its sole discretion, a variety of methods and communication approaches to contact references.

Please list references other than GOSR references.

## **5.5 Key Personnel**

Respondent shall identify all key personnel involved in performing the work identified per Task for which the Respondent is proposing. Attach the résumés and professional qualifications of all of the Respondent's key personnel per Task being proposed (titles identified in Appendix C as well as additional titles), including degrees, certifications, licenses and years of relevant experience.

This section shall list, describe, and discuss the need for specific roles to perform each of the Task(s) the Respondent is proposing. The labor categories may or may not include all of the nine (9) titles identified in Appendix C per Task. If the Respondent chooses to include labor categories not listed in Appendix C, it must provide at a minimum, a description of the additional labor category, inclusive of the minimum education and experience qualifications, relevance to the scope, and why the additional labor categories are necessary. For each labor category being utilized from Appendix C as well as for each additional labor category identified by the Respondent, Respondent must include the hourly wage rate, multiplier information and billing rate in the Price Proposal Form.

Provide an organizational chart that shows how and by whom these functions will be performed for each Task for which the Respondent is proposing.

This section must include acknowledgement that, if selected, the Respondent has the capacity to respond with sufficient staff and that staff approved by GOSR would be available for subsequent assignments as necessary.

## **5.6 Approach and Methodology**

Respondents that present a clear and straightforward work plan for all aspects of execution of services, which is based on a well-defined timeline for delivery of key goals and objectives, and places emphasis on high standards for the delivery of services in expectation of meeting or exceeding these goals, will score higher than those who do not.

The Proposal shall explain how the Respondent will achieve the goals, objectives, tasks, and deliverables outlined in this RFP, including a detailed narrative describing the unique process which the Respondent would apply to delivery of Environmental Review, Surveys & Assessments, and Testing Services. The Proposal shall address why the proposed approach is appropriate and suited for the specific RFP scope. Proposals must provide examples of how the proposed approach has achieved success in specific, relevant projects for public or private sector organizations similar in size and complexity to New York State government. This section must contain enough information to ascertain the success of the projects accomplished by the Respondent, and shall include the metrics and factors used to demonstrate that those projects and the Respondent's approach were indeed successful.

Respondent shall provide a detailed approach for establishing Environmental Review, Surveys & Assessments, and Testing Services. The Proposal shall describe the Respondent's approach to identifying risks and mitigation measures, its approach to making implementation recommendations, and a description of its management and quality control measures. The Proposal shall include samples of existing or planned methodologies that will support the project or program, including plans, reports, tools, and other aspects related to implementation of this work, and shall include specific procedures for ensuring compliance with all federal and state legal requirements related to this scope and operations with and for GOSR.

The above must be done for each Task for which the Respondent is proposing.

## **5.7 Commitment to Complying with all Applicable Regulations**

All Respondents must comply with the below legal and regulatory requirements. In addition, all Respondents must complete and submit all applicable forms in the Appendices. For the purpose of this RFP, Respondents shall submit with their Proposal the following forms.

- Form HUD-60002 Section 3 Summary Report

- Form PROC-1 Equal Employment Opportunity Staffing Plan
- Form PROC-2 MWBE Utilization Plan
- Form PROC-4 MWBE and EEO Policy Statement
- Form PROC-8 EEOC Statement
- Attachment - Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance

Respondents who demonstrate a commitment to complying with all applicable Federal, state, and local regulations, including MWBE, SDVOB, and Section 3 income requirements, will receive the most points.

#### 5.7.1 New York State Law

Pursuant to New York State Executive Law Article 15-A, Article 17-B, and 5 NYCRR 140-145, GOSR recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority- and women-owned business enterprises, service-disabled veteran-owned business (SDVOB) enterprises, and the employment of minority group members, women, and service-disabled veterans in the performance of GOSR contracts. GOSR encourages firms that are MWBE certified and SDVOBs in New York State, or any other city or state, or the federal government, to respond to this RFP.

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of minority- and women-owned business enterprises in state procurement contracting versus the number of minority- and women-owned business enterprises that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that GOSR establishes goals for maximum feasible participation of New York State Certified minority- and women – owned business enterprises ("MWBE") and the employment of minority group members and women in the performance of New York State contracts.



### 5.7.2 Business Participation Opportunities for MWBEs

GOSR is committed to achieving significant MWBE participation in its contracts and will use good faith efforts to ensure that qualified MWBE firms are included in the selection of firms to provide the above described services. For purposes of this solicitation, HTFC hereby establishes an overall goal of 30% for MWBE participation - 15% for New York State certified minority-owned business enterprises (“MBE”) participation and 15% for New York State certified women-owned business enterprises (“WBE”) participation (based on the current availability of qualified MBEs and WBEs). A Contractor who is selected for the subject Contract must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and the Contractor agrees that GOSR may withhold payment pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how GOSR will determine a Contractor’s “good faith efforts,” refer to 5 NYCRR §142.8.

In accordance with 5 NYCRR §142.13, the Contractor acknowledges that if it is found to have wilfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such finding constitutes a breach of Contract and GOSR may withhold payment from the Contractor as liquidated damages.

Respondents that are not MWBEs are strongly encouraged to consider partnering, or making other joint venture arrangements, with certified MWBE firms to achieve the prescribed goals and to give MWBE firms the opportunity to participate in the above-described services performed under the contract(s) awarded to the successful Respondent(s).

#### Include the following in the Respondent’s submission:

- a) If the Respondent is a New York State-certified MWBEs firm, provide documentation evidencing registration. For MWBE firms that are not certified but have applied for certification, provide evidence of filing, including the filing date.
- b) A description of the instances, if any, in which the Respondent has worked with MWBE firms on previous transactions by engaging in joint ventures or other partnering or subcontracting arrangements. Submissions should include the nature of the engagement, how such arrangement was structured, and a description of how the services and fees were allocated.
- c) A statement of the Respondent’s willingness, if any, to engage in MWBE partnering or mentoring arrangements with an MWBE firm selected by the

Respondent. Such statement should include an explanation of how the Respondent would suggest structuring such an arrangement and allocating services and fees between the firms participating in the arrangement.

- d) Provide a plan for ensuring the participation of minority group members and women in accordance with the Participation by Minority Group Members and Women Requirements and Procedures for Contracts with HTFC, attached hereto as Appendix III of the RFP Appendices.

### 5.7.3 Business Participation Opportunities for service-disabled veteran-owned businesses (SDVOBs)

GOSR is committed to achieving significant SDVOB participation in its contracts and will use good faith efforts to ensure that qualified SDVOB firms are included in the selection process. This is in addition to the MWBE utilization requirements. In accordance with New York State Executive Law Article 17-B, governing NYS contracting requirements, HTFC hereby establishes a utilization goal of 6% for SDVOB participation. Bidders/proposers for this RFP and any subsequent contracts will be strongly encouraged and expected, to the maximum extent practical and consistent with the legal requirements of the State Finance Law and the Executive Law, to use responsible and responsive SDVOBs in the fulfillment of the requirements of the contract that are of equal quality and functionality to those that may be obtained from non-SDVOBs. A Contractor who is selected for the subject Contract must document its good faith efforts to provide meaningful participation by SDVOBs in the performance of the contract and the Contractor agrees that GOSR may withhold payment pending receipt of the required SDVOB documentation.

### 5.7.4 Section 3 of the Housing & Urban Development Act of 1968

In addition to the above diversity requirements, and pursuant to Section 3 of the Housing & Urban Development Act of 1968, GOSR is committed to ensuring that employment and other economic opportunities generated by HUD financial assistance shall, to the greatest extent feasible, and consistent with existing federal, state and local laws and regulations, be directed to low- and very low income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons.

A “Section 3 resident” is: 1) a public housing resident; or 2) a low- or very low-income person residing in the metropolitan area or non-metropolitan County where the Section 3 covered assistance is expended. A “Section 3 business concern” is a

business that can provide evidence that they meet one of the follow criteria: 1) 51 % or more owned by Section 3 residents; or 2) at least 30% of its full time employees include persons that are currently Section 3 residents, or were Section 3 residents within three years of the date of first hire; or 3) provides evidence, as required, of a commitment to subcontract in excess of 25% of the dollar award of all subcontracts to business concerns that meet one of the preceding two qualifications.

Further requirements for Section 3 contracts are detailed in Section 30 of Appendix I, “HUD General Provisions.”

## **5.8 Price Proposal**

**Complete the Price Proposal Form in its entirety per Task, as applicable (Attachment 1 – Parts 1 & 2):**

### **Part 1 – Rate Table (applicable to Tasks 1, 2 and 4 only)**

- A. Do not make any changes to the Price Proposal Form other than to add additional rows for additional labor categories.
- B. For each Task the Respondent is proposing, provide the hourly wage rates, multipliers and all-inclusive billing rates for all key personnel being utilized for each Task as identified and in alignment with section 5.5 of the RFP. Use the labor categories listed in Appendix C, even if they are not consistent with the Respondent’s existing titles.
- C. For each Task the Respondent is proposing, provide the hourly wage rates, multipliers and all-inclusive billing rates for all additional un-identified labor categories being proposed by the Respondent as key personnel for this Task as identified and in alignment with section 5.5 of RFP.
- D. Include one hourly wage rate and one all-inclusive billing rate for each labor category. A single blended rate for all titles cannot be proposed.
- E. The rates must include the hourly rate (U.S. dollars) for each title listed on the chart. Each rate must be presented as a fixed dollar amount.
- F. Billing rates are all inclusive rates and include any reproduction, travel, postage, or other expenses.
- G. The multipliers must be presented in a decimal format, up to one-hundredth place.
- H. Rates and multipliers will be evaluated per Task the Respondent is proposing.

- I. Estimated volume per year is provided for comparison purposes only. Actual volume and/or actual contract or task order amount may be different.

**Part 2 – Unit Price Table (applicable to Task 3 only)**

- J. Do not make any changes to the Price Proposal Form.
- K. The unit price is the price of testing only and is not inclusive of other costs.
- L. Include one unit price per testing for each year noted on the chart.
- M. The chart must include a unit price per year (U.S. dollars). Each price must be presented as a fixed dollar amount.
- N. Estimated volume per year is provided for comparison purposes only. Actual volume and/or actual contract or task order amount may be different. However, Respondent will be held to the unit pricing proposed per year. Additional fees and rates (including travel) associated with this Task will be requested through the mini-bid solicitation process, as applicable.

GOSR intends on creating a pool of contractors by Task to support the requirements outlined in this RFP. For assignment of work, GOSR intends on conducting mini-bid solicitations amongst the selected contractors and may seek fixed unit prices, lump sum prices or other pricing structures for specific types of work/specific projects. GOSR reserves the right to deviate from this approach if in the best interest of the State.

Rates/Prices included in the Price Proposal Form should be the Respondent's lowest rates for same or similar services provided to governmental entities.

The Price Proposal Form should be signed by the individual who signs the Proposal cover page. Price Proposal Form must be completed in entirety for each Task the Respondent is proposing.

All proposal prices shall remain valid until contract execution. If contract term options are exercised, option year pricing shall be subject to GOSR review and approval.

**5.9 Finalist Interview**

GOSR reserves the right, at its sole discretion, to invite qualified Respondents to a finalist interview at a time and place chosen by GOSR. If GOSR elects to conduct finalist interviews, Respondents will be required to give a strictly timed presentation.

This presentation should highlight Environmental Review, Surveys & Assessments, and Testing Services provided for similar organizations. GOSR may alter the scoring of a qualified Respondent's Proposal based upon the presentation. GOSR, at its sole discretion, may choose the time and place of this interview. Respondents are responsible for all costs or expenses incurred to attend such interview.

### **5.10 Basis for Contract Award**

Contract(s) will be awarded to the responsible Respondent(s) whose Proposal is determined to be the most advantageous to the State, taking into consideration the price and such other factors or criteria which are set forth in this RFP.

Through an evaluation panel, GOSR will select the Respondent(s) whose Proposal receives the greatest number of points. The evaluation panel will establish a shortlist, either through a natural break in scores or a technically viable cut off technical score. The panel will then evaluate the Price Proposals of only those proposals that have made the cut off/it deems technically qualified.

No more than 20 price total points will be awarded to any Respondent. The lowest priced qualifying technical proposal will be awarded the maximum price point of 20. Other Respondents will be awarded price points as follows:

$$\text{Total price points for Respondent} = \left( \frac{\text{lowest Respondent's price}}{\text{Respondent X's price}} \right) \times 20$$

It is anticipated that awards will be made to the top five (5) Respondents with the highest total score (technical points plus price points) per Task category. GOSR reserves the right to deviate from this approach. GOSR does not guarantee any minimum services to any one contractor in the event of multiple awards.

### **5.11 Vendor Responsibility**

Complete and include in the Proposal a Vendor Responsibility Questionnaire for the Respondent and its proposed subcontractors, which can be found at [http://www.osc.state.ny.us/vendrep/forms\\_vendor.htm](http://www.osc.state.ny.us/vendrep/forms_vendor.htm). Select the questionnaire that best matches the business type (either For-Profit or Not-For-Profit) and business activity (Construction or Other). Do not send the completed form to the Office of the State Comptroller (OSC) unless specifically requested.

### **5.12 Affirmation of Understanding**

Complete and sign the Affirmation of Understanding and Agreement Pursuant to State Finance Law § 139-j (3) and § 139-j (6) (b), attached hereto as Appendix A (a form in Appendices).

### **5.13 Offeror Disclosure of Prior Non-Responsibility Determinations**

Complete and sign the Offeror Disclosure of Prior Non-Responsibility Determinations, attached hereto as Appendix B (a form in Appendices).

### **5.14 Non-Collusive Bidding Certification**

Complete and sign the Non-Collusive Bidding Certification (a form in Appendices).

### **5.15 Requirements of Legal Entities**

Respondents that are corporations, partnerships, or any other legal entity, domestic or foreign, shall be properly registered to do business in the State of New York at the time of the submission of their Proposals to this RFP. Such Respondents shall attach a certificate of good standing from the New York Secretary of State to their submissions.

### **5.16 General Federal Grant Requirements**

Because the Contract is being funded with federal funds, the Contract shall be governed by certain federal terms and conditions for federal grants, such as the Office of Management and Budget's ("OMB") applicable circulars. **Respondent shall provide a description of experience with such grant requirements and affirmatively represent and certify that the Respondent shall adhere to any applicable federal requirements.** Any funds disallowed by any federal government entity shall be disallowed from the fee or compensation to Vendor.

### **5.17 HUD General Provisions**

Because the Contract is being funded with HUD funds, the Contract shall be governed by certain general HUD terms and conditions, attached hereto as Appendix I of the RFP **Respondent shall provide a description of experience with such requirements and affirmatively represent and certify that the Respondent shall adhere to the terms and conditions set forth at Appendix I, and any subsequent changes made by HUD.**

\*Note: An updated Appendices with updated contract provisions for 2 CFR Part 200 are on the GOSR website as part of this RFP. Attachment 3 which contains the updated contract provisions are included in this RFP for your convenience.

### **5.18 Standard Clauses for Contracts with HTFC**

Because the Contract will be between the Respondent and HTFC, the contract shall be governed by certain standard HTFC terms and conditions, attached hereto as Appendix II of the RFP Appendices. **Respondent shall provide a description of experience with such requirements and affirmatively represent and certify that the Respondent shall adhere to the terms and conditions set forth at Appendix II, and any subsequent changes deemed appropriate by HTFC.**

## **5.19 Iran Divestment Act**

Every bid or proposal made to HTFC/GOSR pursuant to a competitive solicitation must contain the following statement, signed by the Respondent on company letterhead and affirmed as true under penalty of perjury:

**"By submission of this bid or proposal, each Respondent and each person signing on behalf of any Respondent certifies, and in the case of a joint bid or proposal each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each Respondent is not on the list created pursuant to paragraph (b) of subdivision 3 of section 165-a of the State Finance Law."**

The list in question is maintained by the Office of General Services. A Proposal that fails to certify compliance with this requirement may not be accepted as responsive.

## **6 ATTACHMENTS AND APPENDICES**

Attachment 1 – Price Proposal Form (Parts 1 & 2)

Attachment 2 – Insurance Requirements

Attachment 3 – Contract Provisions for 2 CFR Part 200

Attachment 4 – Request for Proposals (RFP) Checklist, Environmental Review, Surveys & Assessments, and Testing Services

Attachment – Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance

Appendix A (Form) – Affirmation of Understanding and Agreement Pursuant to State Finance Law § 139-j (3) and § 139-j (6) (b)

Appendix B (Form) – Offeror Disclosure of Prior Non-Responsibility Determinations

Appendix I of the RFP Appendices – HUD General Provisions

Appendix II of the RFP Appendices – Standard Clauses for Contracts with the Housing Trust Fund Corporation

Appendix III of the RFP Appendices – Diversity Forms

Appendix IV of the RFP Appendices – Construction Requirements and Procedures for Contracts with Housing Trust Fund Corporation

Appendix A – Standard Clauses for NYS Contracts

Appendix C – Labor Category Descriptions



**Attachment 1 - Price Proposal Form**

**Part 1 – Rate Table (for Tasks 1, 2 and 4 only)**

Environmental Review, Surveys & Assessments, and Testing Services

**Firm Name:** \_\_\_\_\_

Check box if you are proposing on **Task 1**.

**Task 1 – Environmental Review**

For purposes of the Price Proposal, assume the 15 and 10 estimated reviews all require Environmental Assessments per 24 CFR 58.40 and Full Environmental Assessment Forms under 6 NYCRR 617.4 for stormwater management projects requiring 8-step Floodplain/Wetland Management Plans per 24 CFR 55.

<b>Contract Year</b>	<b>Estimated Number of Reviews</b>
2018 - 2019	15
2019 - 2020	10

<b>Title</b>	<b>Hourly Wage Rate</b>	<b>Multiplier</b>	<b>All-Inclusive Hourly Billing Rate</b>

I certify that the rates in the Price Proposal Form are the firm’s lowest rates for same or similar services provided to other governmental entities.

**Name:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Attachment 1 - Price Proposal Form**

**Part 1 – Rate Table (for Tasks 1, 2 and 4 only)**

Environmental Review, Surveys & Assessments, and Testing Services

**Firm Name:** \_\_\_\_\_

Check box if you are proposing on **Task 2**.

**Task 2 – Environmental Surveys & Assessments**

For purposes of the Price Proposal, assume the 30 and 20 estimated surveys & assessments consist of 50% wetland delineations and 50% Phase I Environmental Site Assessments. Wetland delineations should assume a 5,000 linear-foot wetland boundary.

<b>Year</b>	<b>Estimated Number of Surveys &amp; Assessments</b>
2018 - 2019	30
2019 - 2020	20

<b>Title</b>	<b>Hourly Wage Rate</b>	<b>Multiplier</b>	<b>All-Inclusive Hourly Billing Rate</b>

I certify that the rates in the Price Proposal Form are the firm's lowest rates for same or similar services provided to other governmental entities.

**Name:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Attachment 1 - Price Proposal Form**

**Part 1 – Rate Table (for Tasks 1, 2 and 4 only)**

Environmental Review, Surveys & Assessments, and Testing Services

**Firm Name:** \_\_\_\_\_

Check box if you are proposing on **Task 4**.

**Task 4 – Historic and Archaeological Studies**

For purposes of the Price Proposal, assume the 20 and 10 estimated studies consist of Phase 1A/B Surveys for a 1-acre Area of Potential Effect.

<b>Year</b>	<b>Estimated Number of Studies</b>
2018 - 2019	20
2019 - 2020	10

<b>Title</b>	<b>Hourly Wage Rate</b>	<b>Multiplier</b>	<b>All-Inclusive Hourly Billing Rate</b>

I certify that the rates in the Price Proposal Form are the firm’s lowest rates for same or similar services provided to other governmental entities.

**Name:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Attachment 1 - Price Proposal Form**

**Part 2 – Unit Price Table (for Task 3 only)**

Environmental Review, Surveys & Assessments, and Testing Services

**Firm Name:** \_\_\_\_\_

Check box if you are proposing on **Task 3**.

**Task 3 – Environmental Testing**

For purposes of the Price Proposal, assume the 20 and 20 estimated testing projects consist of the installation on a rooftop generator and the elevation of interior mechanical and electrical systems in a pre-1970 municipal building.

<b>Year</b>	<b>Estimated Number of Testing</b>	<b>Unit Price Per Testing*</b>
2018 - 2019	20	
2019 - 2020	20	

\* The unit price per testing is the price of testing only and is not inclusive of other costs. Additional fees and rates (including travel) associated with this Task will be requested through the mini-bid solicitation process, as applicable.

I certify that the prices in the Price Proposal Form are the firm’s lowest prices for same or similar services provided to other governmental entities.

**Name:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

## Attachment 2 - Insurance Requirements

Contractor shall procure and maintain, at its sole cost and expense, in full force and effect without interruption during all periods of services covered by this Agreement, the Services or Scope of Services, or any Work Order(s), insurance of the type, and with the limits and deductibles, listed below. Any proposed alternate insurance requirements may be submitted with the Proposal and/or may be negotiated during the contracting phase should an entity be selected. It shall be in GOSR's sole discretion to accept or reject alternative insurance requirements.

- i. Commercial General Liability Insurance. In an amount not less than One Million Dollars (\$1,000,000.00) per occurrence, bodily injury (including death) and property damage combined; One Million Dollars (\$1,000,000.00) per occurrence for personal and advertising injury; Two Million Dollars (\$2,000,000.00) products/completed operations aggregate; and Two Million Dollars (\$2,000,000.00) per location aggregate. Such insurance shall be written on an "occurrence" basis and shall apply on a primary, non-contributory basis irrespective of any other insurance, whether collectible or not. The policy(ies) shall be endorsed to name HTFC, the State of New York, and all "benefitted parties" as "Additional Insureds".
- ii. Comprehensive Automobile Liability. In an amount not less than One Million Dollars (\$1,000,000.00) combined single limit for both bodily injury and property damage covering all owned, non-owned and hired vehicles utilized in or related to Contractor's activity or performance under the Agreement, the Services or Scope of Services, or any Work Order(s).
- iii. Workers' Compensation Insurance and Disability Benefits Insurance. Covering employers' liability, workers compensation coverage, and disability benefits coverage as required by the provisions of the Workers' Compensation Law (WCL) of the State of New York.
- iv. Standard "All Risk" Property Insurance covering all equipment and material (owned, borrowed or leased by Vendor or its employees) utilized

and/or related to Vendor's activity or performance under the Agreement, the Services or Scope of Services, or any Work Order(s), to the full replacement value, and which shall allow for a waiver of subrogation in favor of HTFC. Vendor hereby agrees to waive its right of subrogation against HTFC. Failure of the Contractor to secure and maintain adequate coverage shall not obligate HTFC, its agents or employees, for any losses.

- v. Excess Liability Insurance. In an amount not less than Eight Million Dollars (\$8,000,000.00) per occurrence and Eight Million Dollars (\$8,000,000.00) per location aggregate limit, applying on a primary, non-contributory basis irrespective of any other insurance, whether collectible or not, and applying in excess over all limits and coverages noted in paragraphs (i) and (ii) above. This policy shall be written on an "occurrence" basis and shall be endorsed to name HTFC and the State of New York as "Additional Insureds".
- vi. In addition-If vendor will be hauling hazardous material, Contractor's Pollution Liability (CPL) Coverage. In an amount not less than Five Million Dollars (\$5,000,000.00) covering pollution related claims and also including Non-owned disposal site(s) liability, Transportation pollution liability coverage endorsement, Additional Insured Endorsement, and Additional Insured Endorsement-Products-Completed Operations Hazard. Such insurance shall be written on an "occurrence" basis and shall apply on a primary, non-contributory basis.
- vii. If Vendor is providing Professional Services as a Pollution Mitigation and/or Abatement Contractor, Professional Liability Including Pollution Legal Liability Insurance. In an amount not less than Two Million Dollars (\$2,000,000.00) per claim limit, providing coverage for damages arising out of the acts, errors or omissions of the Vendor and/or those acting under the Vendor's direction or control and/or those for whose acts the Vendor may be liable, and relating to the professional services rendered. In the event that coverage under such policy is terminated upon or after completion of the project, then an extended reporting period of not less than two (2) years will be purchased by the Vendor. HTFC, the State of

New York, and all “benefitted parties” shall be named as “Additional Insureds” on the Pollution Legal Liability coverage.

All policies shall be written with insurance companies licensed to do business in New York and rated not lower than A+ in the most current edition of AM Best’s Property Casualty Key Rating guide. All policies will provide primary coverage for obligations assumed by Vendor under this Agreement, the Services or Scope of Services, or any Work Order(s), and shall be endorsed to provide that HTFC shall receive thirty (30) days prior written notice in the event of cancellation, non-renewal or material modification of such insurance.

The Vendor shall provide Certificates of Insurance to HTFC prior to the commencement of work, and prior to any expiration or anniversary of the respective policy terms, evidencing compliance with all insurance provisions set forth above, and shall provide full and complete copies of the actual policies and all endorsements upon request. Failure to provide adequate or proper certification of insurance, specifically including HTFC, the State of New York, and all “benefitted parties” as “Additional Insureds”, shall be deemed a breach of contract.

An Accord Certificate of Insurance is an acceptable form to submit evidence of all forms of insurance coverage except Workers’ Compensation Insurance and Disability Benefits Insurance. For evidence of Workers’ Compensation Insurance, the Vendor must supply one of the following forms: Form C-105.2 (Certificate of Workers’ Compensation Insurance issued by a private carrier), Form U-26.3 (Workers Compensation Insurance issued by the State Insurance Fund), Form SI-12 (Certificate of Workers’ Compensation Self- insurance), Form GSI-105.2 (Certificate of Participation in Workers’ Compensation Group Self-Insurance), or CE-200 (Certificate of Attestation of Exemption from NYS Workers’ Compensation and/or Disability Benefits Coverage). For evidence of Disability Benefits Insurance, the Vendor must supply one of the following forms: Form DB-120.1 (Certificate of Disability Benefits Insurance), Form DB-155 (Certificate of Disability Benefits Self-Insurance), or CE-200 (Certificate of Attestation of Exemption from NYS Workers’ Compensation and/or Disability Benefits Coverage).

Subcontractors under this Agreement shall only be subject to (i)-(iv) of this Section, except that (vi)-(vii) shall apply where applicable. However, Vendor shall require subcontractors to maintain greater limits and/or other or additional insurance coverages if greater limits and/or other or additional insurance coverages are (a) generally imposed by the Vendor given its normal course of business for subcontracts for similar services to those being provided by the subcontractor at issue; or (b) reasonable and customary in the industry for similar services to those anticipated hereunder.

**Indemnification Provisions:**

Vendor will also be required to agree to the following indemnification provisions:

Vendor shall, and hereby agrees, to hold harmless, defend (with counsel acceptable to HTFC), and indemnify HTFC and the State of New York, and its successors, affiliates, or assigns, and any of their employees, officers, directors, attorneys, consultants, agents, managers, representatives, and affiliates (collectively, "HTFC"), from and against any and all losses, expenses, claims, demands, damages, judgments, liabilities or alleged liabilities, costs of any form or nature whatsoever (including reasonable attorneys' fees), resulting from, arising out of, or in consequence of any action or cause of action in connection with this Agreement, the Services or Scope of Services, or any Work Order(s), including, but not limited to, property damage, any injuries or death sustained by any persons, employees, agents, invitees and the like, any infringement of copyright, royalty, or other proprietary right in consequence of any design(s) created and/or specifications prepared in accordance with the Agreement, the Services or Scope of Services, or any Work Order(s), any injuries or damages resulting from defects, malfunction, misuse, etc. of Vendor-provided equipment and materials, any violations of law, violations of this Agreement, or the conduct (including any acts, omissions, malfeasance, or willful misconduct) of Vendor or any subcontractor or supplier of any level or tier or anyone directly or indirectly employed by any of them or anyone for whose acts they may be liable.

This indemnity shall expressly include, but is not limited to, the obligation of Vendor to indemnify and reimburse HTFC for any and all attorneys' fees and other litigation or dispute resolution costs incurred, or to be incurred, in HTFC's



enforcement of this Agreement, or any portion thereof, against Vendor or otherwise arising in connection with this Agreement. This clause shall survive indefinitely the termination of this Agreement for any reason.

It is expressly understood and agreed that the risk of loss for property damage during the course of construction or other work passes to HTFC only after completion of the work enumerated in the Agreement, Services or Scope of Services, or any Work Order(s). Accordingly, all of the indemnification provisions as set forth herein shall also apply to any losses sustained prior to the passing of risk of loss to HTFC. This clause shall survive indefinitely the termination of this Agreement for any reason.

For construction, environmental remediation/mitigation, or other work in which HTFC has entered into this contract to perform the work on behalf of homeowners or others who may be determined to be third party beneficiaries of this contract (“benefitted parties”), all of the indemnification provisions set forth herein shall expressly extend to such “benefitted parties” in like manner and degree as to HTFC.

Notwithstanding the foregoing indemnification provisions, Vendor remains liable, without monetary limitation, for direct damages for personal injury, death or damage to real property or tangible personal property or intellectual property attributable to the negligence or other tort of Vendor, its officers, employees or agents.

**Attachment 3 - Contract Provisions for 2 CFR Part 200**

# Electronic Code of Federal Regulations

e-CFR data is current as of **April 16, 2018**

[Title 2](#) → [Subtitle A](#) → [Chapter II](#) → Part 200

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Title 2: Grants and Agreements

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## PART 200—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS

### **Appendix II to Part 200—Contract Provisions for Non-Federal Entity Contracts Under Federal Awards**

In addition to other provisions required by the Federal agency or non-Federal entity, all contracts made by the non-Federal entity under the Federal award must contain provisions covering the following, as applicable.

(A) Contracts for more than the simplified acquisition threshold currently set at \$150,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. 1908, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.

(B) All contracts in excess of \$10,000 must address termination for cause and for convenience by the non-Federal entity including the manner by which it will be effected and the basis for settlement.

(C) Equal Employment Opportunity. Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of "federally assisted construction contract" in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, "Equal Employment Opportunity" (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and implementing regulations at 41 CFR part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor."

(D) Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, "Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction"). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of

the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland "Anti-Kickback" Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, "Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States"). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.

(E) Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708). Where applicable, all contracts awarded by the non-Federal entity in excess of \$100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

(F) Rights to Inventions Made Under a Contract or Agreement. If the Federal award meets the definition of "funding agreement" under 37 CFR §401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that "funding agreement," the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," and any implementing regulations issued by the awarding agency.

(G) Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended—Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).

(H) Debarment and Suspension (Executive Orders 12549 and 12689)—A contract award (see 2 CFR 180.220) must not be made to parties listed on the governmentwide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), "Debarment and Suspension." SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.

(I) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract,

grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

(J) See §200.322 Procurement of recovered materials.

[78 FR 78608, Dec. 26, 2013, as amended at 79 FR 75888, Dec. 19, 2014]

## Appendix C – Labor Category Descriptions

The following represents general descriptions for the nine (9) labor categories identified in the Hourly Rate Table.

**Engagement Partner:** The Engagement Partner would be responsible for reporting to Senior GOSR staff on large contractual issues. The Engagement Partner would participate in contract negotiations and engage GOSR when significant scope or change of work order is needed. The Engagement Partner must have at least five years of experience in Environmental Review, Surveys & Assessments and Testing Services to public entities (which include federal, state, or local agencies or public authorities within the United States), including but not limited to those services outlined in section 4 of the RFP.

**Project Manager:** The Project Manager, reporting to the Engagement Partner, would coordinate and delegate the assignments to the contractor's staff and serve as the point of contact for GOSR staff. The Project Manager would be responsible for reporting to GOSR on progress and if necessary, communicating with stakeholders on new issues, project status, meetings, and deliverables. The Project Manager must have at least four years of experience in Environmental Review, Surveys & Assessments and Testing Services, including but not limited to those services outlined in this RFP.

**Senior Management Analyst:** The Senior Management Analyst, working under the Project Manager, would be responsible for the execution of environmental management and consulting services tasks and assignments as directed by GOSR as well as monitoring issues on which GOSR seeks advice or guidance. These tasks, assignments, and issues include but are not limited to those outlined in this RFP. The Senior Management Analyst must have at least three years of experience in Environmental Review, Surveys & Assessments and Testing Services, one year of which must be for public sector projects.

**Management Analyst:** The Management Analyst would assist in the execution of Environmental Review, Surveys & Assessments and Testing Services tasks and assignments under the supervision of the Senior Management Analyst, Project Manager, or Engagement Partner. The Management Analyst must have at least two years of experience in Environmental Review, Surveys & Assessments and Testing Services, a minimum of one year of which must be in monitoring for public sector projects.

**Senior Environmental Scientist:** The Senior Environmental Scientist would conduct field work, research, interviews, investigations, analyses, preparation of Phase I and II Environmental Site Assessment ("ESAs") and preparation of plans and reports. The Senior Environmental Scientist must have at least three years of experience in Environmental Review, Surveys & Assessments and Testing Services, one year of which must be for public sector projects.

**Environmental Supervisor:** The Environmental Supervisor would supervise the environmental technical team in the field, including planning and scheduling the tasks, assignments, and issues including but not limited to those outlined in this RFP. The Environmental Supervisor must have at least two years of experience in Environmental Review, Surveys & Assessments and Testing Services.

**Environmental Planner/GIS Analyst:** The Environmental Planner/GIS Analyst must apply GIS (Geographic Information Systems) software for GIS mapping and analysis, geodatabase design and workflow development and should be able to acquire, compile, and analyze geographic data from disparate sources. This position would be responsible for providing technical assistance for environmental, data development, database maintenance, and mapping in support of documents, reports, and other project activities. The Environmental Planner/GIS Analyst must have at least three years of experience in Environmental Review, Surveys & Assessments and Testing Services, a minimum of one year of which must be for public sector projects.

**Historian:** The Historian would prepare written technical reports for compliance with Section 106 of the National Historic Preservation Act and other applicable state and federal regulations; conduct historical research to identify historic properties; and coordinate with the State Historic Preservation Office. The Historian must have at least three years of experience in Environmental Review, Surveys & Assessments and Testing Services, one year of which must be for public sector projects.

**Biologist:** The Biologist would prepare written technical reports for compliance with Section 7 of the Endangered Species Act and other applicable state and federal regulations; and conduct field investigations to delineation wetland the extent and/or quality of wetland habitat in compliance with Federal and State requirements and guidelines. The Biologist must have at least three years of experience in Environmental Review, Surveys & Assessments and Testing Services, one year of which must be for public sector projects.

## **Attachment 4 - Request for Proposals (RFP) Checklist**

### Environmental Review, Surveys & Assessments, and Testing Services

#### **Required Proposal Content:**

- Cover Letter and Table of Contents
- Executive Summary
- Project Experience and Capacity
- Subcontracting Plan, as applicable
- Key Personnel
- Approach and Methodology
- A Statement of Commitment to Compliance
- Financial Statements
- Price Proposal with Completed Price Proposal Forms (Separate from Technical Proposal)

#### **Required Forms and Certification:**

- Respondent Overview
- IDA Certification
- Certification on adhering to sections 5.17 through 5.19 of the RFP
- Appendix A – Affirmation of Understanding
- Appendix B – Offeror Disclosure
- Non-Collusive Bidding Certification
- Appendix III – Diversity Forms (HUD & HTFC)
  - Form HUD-60002 Section 3 Summary Report
  - Form PROC-1 Equal Employment Opportunity Staffing Plan
  - Form PROC-2 MWBE Utilization Plan
  - Form PROC-4 MWBE and EEO Policy Statement
  - Form PROC-8 EEOC Statement
- Form Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance
- Vendor Responsibility Questionnaire (Respondent)
- Vendor Responsibility Questionnaire(s) (Subcontractor(s))
- Certificate of Good Standing
- Diversity Certification, as applicable