



GOVERNOR'S OFFICE OF STORM RECOVERY

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HOUSING TRUST FUND CORPORATION

Request for Proposals

For

Community Development Block Grant-Disaster Recovery
Demolition and Property Maintenance Management Services

April 15, 2014

Responses must be received by
5:00 p.m. (Eastern), May 23, 2014

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1.0 GENERAL INFORMATION

1.1 Purpose

The Governor's Office of Storm Recovery ("GOSR") seeks to procure program management and oversight of demolition, property maintenance, and related activities undertaken in support of recovery, blight removal, disposition, and redevelopment for those properties impacted by Superstorm Sandy, Hurricane Irene, or Tropical Storm Lee, in connection with GOSR's 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). GOSR will administer CDBG-DR funded programs and projects through a variety of organizations and municipalities under subrecipient agreements. It may also directly administer programs and projects through a variety of vendors and other contractors. Demolition, property maintenance, and their related activities are required for those properties acquired through the Acquisition and Buyout Programs outlined in the New York State Action Plan for CDBG-DR. GOSR is seeking a firm with demonstrated experience to provide project management expertise to coordinate, plan, manage, and implement demolition and property maintenance. In addition to project management and coordination activities, the selected firm will be responsible for ensuring that program and project activities are in compliance with HUD regulations and are completed within federal funding timeframes as stipulated in the grant award.

Specifically, GOSR is seeking a firm that will administer procurement of demolition contractors on behalf of GOSR, the oversight and monitoring of contractors' operations, the coordination of environmental services, the management of the related permit process, and coordination with the staff and resources of the GOSR and any of its partner agencies, organizations, groups, etc. The properties involved will include one and two family structures or slabs and foundations in GOSR's inventory, as well as those that will be acquired in the future. The properties involved could be located anywhere in the affected counties but GOSR anticipates that some of them will be in the Staten Island Area. The properties will be owned by GOSR.

In addition to managing demolition operations, the selected contractor will be responsible for providing related services such as property identification, notice and property status determination processes in conjunction with local adjudications, assistance to local governments with which GOSR works, data management, environmental reviews, historic preservation and archeological evaluations, environmental matters (such as asbestos and storm water management), and utility cut-offs. It will also oversee property maintenance services, including grass cutting, debris removal, and securing properties.

The selected firm will be state-funded and report to GOSR, but will work directly with communities, subrecipients, and other contractors or vendors, as applicable, to support the administration of the programs outlined below.

Respondents to this RFP should thoroughly review the New York State Action Plan for Community Development Block Grant Program Disaster available at: <http://stormrecovery.ny.gov/action-plans-and-amendments>

1.2 Diversity Requirements

GOSR/HTFC is committed to awarding a contract(s) to a New York-based firm that will provide high-quality services and that is dedicated to diversity and to containing costs. Eligible respondents must have a New York State office. The Corporation strongly encourages respondents that are certified by New York State, or any other city or state, or the federal government, as minority- and/or woman- owned business enterprise (“M/WBEs”), as well as respondents that are not yet certified, but have applied for certification, to submit responses to this RFP. All New York State certified M/WBE firms submitting proposals to this RFP should be registered as such with the New York State Department of Economic Development. For M/WBE firms that are not certified but have applied for certification, please provide evidence of filing, including filing date.

HTFC strongly encourages joint ventures of M/WBE firms with majority firms and M/WBE firms with other M/WBE firms. For purposes of this solicitation, HTFC hereby establishes an overall goal of 20% for MWBE participation, 10% for minority-owned business enterprises (“MBEs”) and 10% for women-owned business enterprises (“WBEs”).

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.

1.3 RFP Timeline

Target Date	Event
April 15, 2014	Release of RFP
May 5, 2014	Anticipated Respondents' Conference
May 7, 2014	Last Day to Submit Questions – 8:00 p.m. (Eastern)
May 14, 2014	Issuance of Answers to Questions
May 23, 2014	Proposal Submission Deadline – 5:00 p.m. (Eastern)
June 2, 2014	Finalist Interviews (if applicable)
June 6, 2014	Target Date for Selection

Please note that all bid prices submitted as part of this RFP shall remain valid through July 6, 2014.

Please note that the RFP timeline includes target dates and may change. It is the responsibility of respondents to periodically review the GOSR website

<http://stormrecovery.ny.gov/procurement-opportunities>

for regular updates to the RFP timeline and other important information, which may alter the terms or requirements of this RFP.

1.4 Background

In late October 2012, Superstorm Sandy, the largest storm in New York's recorded history swept ashore. Sandy's effect was devastating, causing widespread damage to lives, homes, businesses, core infrastructure, government property, and an economy just recovering from the Great Recession. Fourteen counties were declared Federal disaster areas. Sixty New Yorkers died and two million customers lost power with some blackouts lasting up to three weeks. The storm damaged or destroyed as many as 300,000 housing units, affected or closed over 2,000 miles of roads, produced catastrophic flooding in subways and tunnels, and damaged major power transmission and communication systems. Sandy followed closely on the heels of Tropical Storm Lee and Hurricane Irene, which caused unprecedented and catastrophic damage to Upstate New York.

In January 2013, President Obama signed into law the Disaster Relief Appropriations Act, 2013 (Pub. L. 113-2), pursuant to which the U.S. Congress appropriated \$16,000,000,000 to HUD for the CDBG-DR program, so that the agency could provide funds to address community recovery needs resulting from disasters that occurred in the United States in 2012 and 2013. This included areas impacted by Superstorm Sandy, Hurricane Irene, and Tropical Storm Lee.

In February 2013, HUD announced an initial allocation of funds from the \$16,000,000,000 CDBG-DR appropriation, allocating \$5,400,000,000 to states impacted by Superstorm Sandy. New York City received a separate allocation of CDBG-DR funds. New York State received \$1,713,960,000, which it planned to use in four recovery areas: housing, economic development, infrastructure, and planning. The State submitted an Action Plan for these funds to HUD in April 2013.

In May 2013, HUD accepted the Action Plan. Pursuant to the Action Plan, New York State Homes and Community Renewal (“NYS HCR”), acting through GOSR and its Office of Community Renewal (“OCR”), is tasked with overseeing the administration of the CDBG-DR funds. The day-to-day operations of such have been delegated to a newly created division of HTFC, the Governor’s Office of Storm Recovery (“GOSR”).

In November 2013, HUD announced that an additional allocation of \$5,109,000,000 of CDBG-DR funds would be made available to existing Sandy grantees. The New York State share of this allocation was \$2,097,000,000, bringing its total allocation of CDBG-DR funds to \$3,810,960,000. GOSR submitted New York State’s Action Plan amendment for public comment in February 2014, and it will be formally submitted to HUD for approval in March 2014. GOSR expects to have access to these additional funds by June of 2014.

1.5 Description of Program(s)

As per the NYS CDBG-DR Action Plan, GOSR has provided the following programs to eligible impacted homeowners:

1.5.1 NY Rising Home Buyout Program (Voluntary buyout for one- and two-unit homes)

The NY Rising Home Buyout Program will include the purchase of eligible substantially damaged properties (>50% of the pre-storm value of the property) inside the floodplain in storm-impacted areas.

Certain highest risk areas in the floodplains, determined to be among the most susceptible to future disasters and that therefore present a greater risk to people and property, will be identified by the State and its local partners for the purposes of this program as enhanced buyout areas (see below). The State will conduct purchases inside of the enhanced buyout areas as “buyouts”, as defined by HUD, whereby they will be eligible for purchase starting at 100% of the property’s pre-storm fair market value (FMV), plus available incentive(s) as outlined below.

The State intends to conduct most purchases outside of the enhanced buyout areas as “acquisitions”, as defined by HUD, whereby purchase offers must begin with the post-storm fair market value of the property. In these instances, however, the State proposes to supplement this post-storm FMV with an added homeowner resettlement incentive equal to a maximum of the difference between the post-storm and pre-storm values of the property. Such an incentive is necessary to allow homeowners inside flood-prone areas that have sustained damage to their

primary residence and are otherwise unable or unwilling to repair their home, and seek to relocate to a safer, less flood-prone area, the ability to do so. Furthermore, this resettlement incentive recognizes the uncertainty of post-storm values of storm-damaged homes, relative to the high costs associated with relocation, therefore affording homeowners the maximum amount of assistance necessary to make this life-altering change. This resettlement incentive will help homeowners to remain in the community and contribute to its overall recovery from the disaster, while also ensuring that acquired land will be redeveloped in a safer, more resilient manner for the future occupants of the area.

In accordance with the Federal Register Notice, published by HUD on March 5, 2013 (FR-5696-N-01), governing the use of these funds, properties purchased as a “buyout” will be maintained in perpetuity as coastal buffer zones, while properties purchased as “acquisitions” will be eligible for redevelopment in the future in a resilient manner to protect future occupants of this property. The post-purchase fate of most acquired properties will be determined by the State in consultation with local officials to ensure that the properties best serve the future goals of the community. In some cases, the properties will remain undeveloped and be transformed into parks or other non-residential uses, while in most cases they will be redeveloped in a resilient manner.

1.5.2 Enhanced Buyout Areas

Enhanced Buyouts in select pre-defined targeted buyout areas, which will be determined in consultation with county and local governments will include an incentive(s) ranging from 5%-15% on top of the pre-storm FMV of property acquired through the buyout program. Reconstruction may not occur on lots in these areas. Lots will be maintained as coastal buffer zones or other uses that are compatible with open space, recreational or wet lands management practices, and may also include acquisition of vacant or undeveloped land in these targeted areas.

Site work and property maintenance costs, including environmental remediation, grading and security, may also be paid for using this source of funds.

1.6 General Scope of Services and Key Deliverables

The **scope of services** to be provided includes the following:

- a) Ensure a quality, timely, compliant, and cost-effective property management, demolition and debris removal program.
- b) Support GOSR with related services.
- c) Provide an effective management information system.
- d) Procurement of demolition contractors on behalf of GOSR.
- e) Procurement of deconstruction contractors and recycling contractors.

- f) Implementation of property demolition work through transparent and competitive procurements.
- g) Oversight and monitoring of contractors' operations.
- h) Coordination of environmental services and the management of the related permit process.
- i) Comply with all relevant HUD CDBG DR Regulations and reporting requirements including those related to M/WBE subcontracting, Section 3 employment efforts, Davis Bacon wage compliance, and workforce utilization.
- j) Provide related services as required by GOSR in support of its programs.
- k) In consultation with the U.S. Environmental Protection Agency ("EPA"), the New York State Department of Environmental Conservation ("NYS DEC"), and the New York City Department of Environmental Protection ("NYC DEP"), evaluate storm water and waste management plans, and wetlands permits as necessary and develop plan for compliance and implementation.
- l) For the life of the contract(s) to be awarded pursuant to this RFP, maintain office(s) in the State of New York in close proximity to the subrecipient communities to which the services outlined in this RFP will be provided.
- m) Provide an overall project or engagement manager who will report to GOSR staff in New York City.
- n) Issue regular status reports to GOSR senior and executive staff during all phases of the process. This may include frequent meetings in person, by phone, or by videoconference, which may or may not fall during normal business hours.
- o) Commence work within one month of contract award. Initial work will include initiating meetings with GOSR staff, Community Reconstruction Program leaders, and subrecipients and/or developing CDBG-DR pre-applications or applications.

The key **deliverables** to be provided include the following:

In summary, the performance measures for conducting the demolition, property maintenance, and related services are:

- a) Submittal of an operational plan within 14 days of contract award.
- b) A fully functional management information system approved by the GOSR. This will include an electronic tracking system and database of GOSR properties to track status until close out. This database will include the property legal description, with dated and

timed photographs of property before and after each maintenance service is provided, detailed description and costs of services provided by property, audit trail of recommendations by contractor, and approval by GOSR and supporting documentation of services provided.

- c) Provide routine maintenance, including grass cutting for each property at frequencies to be determined by GOSR.
- d) Remove debris, autos, boats, etc. as requested by GOSR.
- e) Secure properties as requested by GOSR by locking or fastening doors and boarding up openings.
- f) Management, oversight, and implementation of demolition and debris removal operations to begin with the acceptance of the operational plan by the GOSR and completed within the time frames set forth in the plan
- g) Develop an operational plan that addresses quality control, fraud, waste, mismanagement, estimated costs of both property management and demolition and debris removal work, record-keeping, reporting, and close out with timelines for project completion.
- h) Provide a monthly management report, which documents and summarize all activities performed under this engagement. In addition, provide monthly reports documenting all CDBG compliance activities including M/WBE subcontracting, Section 3 employment efforts, Davis Bacon Wage compliance, and workforce utilization.
- i) Review each property and develop a scope of work for each site to remove all structures, foundations, drives, etc.
- j) Review environmental clearances on each property.
- k) Complete bid documents.
- l) Negotiate, execute, and administer subcontracts for demolition, debris removal, and site cleanup, as well as changes thereto.
- m) Provide GOSR with timely support services as needed related to the demolition program and to hurricane recovery, blight removal, and redevelopment efforts.
- n) Respond to damage incidents caused by contractor within 24 hours of incident. This includes contacting the injured party and GOSR to identify the injured party, the extent of damage, and possible resolution to the incident.

1.6.1 Activity 1: Planning, Policies, Compliance, and Protocols

Contractor will provide expert consultants to help the GOSR staff define the best and most effective methods for demolishing those structures that have been determined to pose health and safety hazards to the citizens of the impacted parishes. The contractor shall develop a plan with timelines, responsibilities, methods of compliance, etc. to ensure a compliant demolition program. Tasks associated with this requirement include:

- a) Project organization, coordination, policies, protocols, administration, planning, and oversight
- b) Project cost and budget oversight and monitoring
- c) Interaction with GOSR, business/functional units, and processes as necessary to integrate MIS/IT operations with non-IT operations.
- d) Communications, team collaboration, project reporting, project documentation methodologies, and public relations
- e) Change management and issue control
- f) Contract management
- g) Monitoring quality control plan, including effectiveness measures, for assuring the successful demolition of GOSR properties.
- h) Quality assurance and implementation operations assessment which results in a quality control plan.
- i) Procedures to deter and detect fraud, waste, and abuse by demolition and property maintenance contractors.

For planning purposes, it is estimated that the contractor will need to provide Project Managers, Subject Matter Experts, etc. (See Start-up of Operations for complete details).

Detailed Planning, Policies, Compliance and Protocols

- a) The following represents anticipated key deliverables for this activity.
 - Written Operations Plan which will include program policies and protocols, staffing, transition of work from incumbent contractor, schedules, monitoring, quality control, recordkeeping, reporting, and close-out of each property
 - Management information system plan to support contractor's operations and GOSR's information needs. The system must include tracking of all operational, financial, and environmental aspects of the demolition process. The system should provide a web-based interface that is accessible not only to the selected contractor but also to GOSR personnel, and other affected parties designated by GOSR, with appropriate security controls.
 - Project supporting documentation and working papers
 - Program and organization needs assessment and requirements definition.
 - Cost assessment and cost projections for the Demolition Program
 - Timely status reports.
- b) Start-up of Operations

- The selected firm must secure the necessary personnel and office supplies to provide the requested services. The Contractor shall provide competent and qualified project staff as specified for the applicable task schedule in the Scope of Work. No member of the staff will be allowed to start working on the program until they are officially authorized by the GOSR.
- The contractor is expected to provide a sufficient number of personnel, including:
 - Project Managers
 - Assistant Project Managers
 - Financial Administrator
 - Subject Matter Experts (environmental, CDBG, Historic, Lead Paint, Asbestos, other hazardous materials)
 - Engineer/Scientist
 - Asbestos Supervisor
 - Asbestos Inspector
 - Public Relations Specialist
 - Historian
 - Crew Supervisor (to supervise the Monitors and Monitoring Staff, Clerical Support, Data Base Specialists and GIS Trained Specialist)
 - Clerical Support
 - IT Analyst
 - GIS Trained Specialist
 - Monitoring Staff

Detailed tasks associated with Activity 1:

- a) Provide a uniform and consistent personnel manual, codes of conduct, and conflict of interest, privacy, and ethics policies for all employees.
- b) Hire or provide staff necessary to operate.
- c) Develop uniform and consistent training procedures for all staff.
- d) Establish an electronic and paper tracking and filing system for clearances, permits, and related materials.
- e) Create, review, and/or provide feedback on common forms.
- f) Provide a plan for Section 3 compliance, Equal Employment Opportunity and Minority and Women Owned Business Enterprise (M/WBE) utilization.
- g) Provide daily and/or weekly progress reports, and other reports as requested, to GOSR.
- h) Compliance with the requirements of the State Historic Preservation Officer (SHPO), federal guidelines, and local government requirements pertaining to historic or other

protected properties, including procedural obligations, permitting and approval, archiving, deconstruction, and demolition.

- i) Surveying on an as-needed basis to address property location, dimension, and encroachment issues that arise in the course of the work.
- j) Municipal and county permitting and adjudication processes.

Specific deliverables associated with Activity 1:

- Personnel manual, codes of conduct, conflict of interest, privacy, and ethics policies.
- Program Staff training materials and schedule.
- Section 3, Equal Employment Opportunity, and M/WBE plans.
- Operations Plan including internal controls consistent with the Programs' policy and procedures.
- Office operations and security plan.
- Other project deliverables that may be forthcoming from specific task assignments by GOSR.
- Quality control plan
- Anti-Fraud, Waste and Abuse Plan
- Demolition contractor monitoring plan including contract compliance, invoice review, audit compliance, and closeout.

1.6.2 Activity 2: Property Maintenance Duties for each Property

- a) Provide an assessment of properties in electronic form no later than seven (7) days after receiving notice of a transfer to GOSR. Such assessment will include at a minimum:
 - Description of property including the existence of any structures and/or flatwork
 - Security Issues including the number/cost of boarding any properties
- b) Debris removal including number/cost of white goods, tree limbs, pest control, etc.
- c) Validate the property location against the legal description.
- d) Once the property location is verified, mark property address on curbing or other approved method established by GOSR.
- e) Establish a maintenance schedule in consultation with GOSR.

- f) Secure each site, including removal of debris, boarding windows, doors, etc., once approved by GOSR.
- g) Initial clean up and cut to Routine Maintenance Cut Standards.
- h) Light property maintenance as approved by GOSR.

1.6.3 Activity 3: Environmental Reviews for Structures to be Demolished

Contractor will provide expert consultants to review environmental clearances provided by GOSR to ensure compliance with HUD and State regulations. The contractor will help GOSR staff develop and process the necessary documents required to clear each property. Tasks associated with this requirement, include:

- a) GPS to verify location of new properties
- b) Assist GOSR, and where necessary, complete the substantive analysis and agency coordination for Environment Record of Review (ERR) as needed.
- c) Review of the ERR provided by GOSR for impact on demolition activity, including all information and supporting documentation required by HUD and state regulations and policies.
- d) When required, perform the ER process in compliance with 24 CFR Part 50, 51, 55, and 58, as well as related statutes and regulations.
- e) Interact with GOSR, and its program/business/functional units and processes as necessary to obtain information needed on properties.

For planning purposes, it is estimated that the Contractor will need to provide Project Managers, Subject Matter Experts, etc. (See Start-up of Operations for complete details) to fulfill this task requirement.

Deliverables 2 (To begin with acceptance of GOSR's acceptance of operational plan and will be completed within the time frame included in the plan.)

Since this task is for completed and federally compliant environmental reviews of the properties to be demolished, the following represents anticipated key deliverables for this task.

- a) Review of ERRs for each property prior to commencing demolition
- b) When assigned to perform ER work for particular properties, carry out the process. (Note: GOSR is primarily responsible for ERs on GOSR-owned properties. Contractor may be called upon to perform substantive environmental analysis and submit its work product to GOSR for decision-making.)

- c) Certification (in accordance with HUD requirements) of subject matter experts performing the work, where required.
- d) Timely status reports
- e) Certification of completed Environmental Reviews
- f) Other project deliverables that may be forthcoming from specific task assignment by GOSR.

1.6.4 Activity 4: Demolition Services

Contractor will manage and oversee demolition services, which shall include the following:

- a) Prepare a scope of services plan for each property to be demolished, and incorporate in contract specifications.
- b) Demolition and Property Maintenance Manager will contract directly with the demolition contractors in accordance with 24 CFR 85.36, and pay those contractors directly based on the selected program manager's review and certification of demolition contractor pay requests.
- c) The prime contractors can identify teams for property management, board up, fencing, environmental testing/remediation, and demolition. The contractor must describe the method and standards for identifying subcontracts, including a process that ensures cost and quality. In accordance with 24 CFR 85.36, the successful may propose a contractor team. If GOSR upon review determines that the teams provided are insufficient because of cost or quality issues they can request that the prime bid additional contractors. All demolition and related services must be bid by the prime in an open, competitive and transparent manner.
- d) The Demolition Contractors Scope of work will be developed by the Demolition and Property Maintenance Manager, in conjunction with GOSR, and will include, but not be limited to providing a project description, work plan, address work related conditions, security, clean up and all related demolition services
- e) Administer GOSR's demolition contracts and monitor contractor performance for the demolition, debris removal, and site clean-up.
- f) Manage the process for obtaining all permits and contacting all utility providers prior to commencement of any demolition project, and in consultation with GOSR, determine whether responsibility for these activities should be included in other demolition contracts or should be undertaken directly by the demolition program management contractor.

- g) Manage the process for proper removal and proper disposal of all materials (including hazardous materials such as asbestos and lead) in accordance with federal laws, state laws, and local codes and ordinances; identify hazardous materials present on the properties to be demolished; include an articulation of responsibility for hazardous and nonhazardous material handling and disposal in demolition contracts; monitor demolition contractor performance regarding such handling and disposal; and advise GOSR regarding hazardous and nonhazardous material handling and disposal requirements.
- h) Specify and manage storm water compliance where applicable or where required by GOSR.
- i) Identify all fees and permits for disposal, if applicable; advise GOSR about the applicability of such fees and permits; and advise GOSR about whether responsibility for such fees and permits should be assumed by GOSR directly, undertaken by the demolition program management contractor, or assigned to demolition contractors.
- j) Surveying as needed to identify and delineate project work sites or other properties of interest to GOSR. On-site monitoring of contractors to verify quality work and adherence to all federal and state laws, as well as local codes and ordinances. Preparation of monitoring reports with regard to contractors compliance with CDBG regulations and reporting requirements including those related to M/WBE, Section 3, Davis Bacon, and workforce utilization.
 - Contractor shall ensure that each property structure has been demolished, debris removed, and that the property has been graded and seeded in accordance with contract specifications.
- k) Contract negotiation with demolition contractors, as required.
- l) Quality assurance and implementation operations assessment, to the satisfaction of the GOSR inspectors.

Deliverables 4 (To begin upon GOSR's approval of operational plan and will be completed within the time frame included in the operational plan.)

- a) The following represents anticipated key deliverables for this task:
- b) Weekly reports containing completed scope of services plan for each property.
- c) Completed and approved bid documents for demolition and debris removal to be determined by negotiated time schedule.
- d) Weekly reports containing completed close out reports, as well as monthly project status reports to include information determined by GOSR, including M/WBE, Section 3, Davis Bacon, and workforce utilization.

- e) Other project deliverables that may be forthcoming from specific task assignment by the GOSR.

1.6.5 Activity 5: Related Services

On an “as needed” basis, the selected contractor shall assist GOSR in its activities related to the maintenance, demolition, and disposition of properties. GOSR operates in a dynamic environment in which the program service needs evolve in response to the needs of local government participants, the market for property development, changes in the program’s policies at the state level, and changes in the regulatory climate and legal regimes within which GOSR’s program operates. The parties recognize that the scope and nature of the work contemplated by this RFP creates the likelihood of unknown conditions, requirements, problems, and opportunities for which new or additional work may be required. GOSR may assign the successful contractor tasks requiring related services such as property identification, notice to owners, and property status determination processes in connection with local adjudication processes, assistance to local governments with which GOSR works, data management, environmental reviews, historic preservation and archeological evaluations, environmental matters (such as asbestos and storm water management), and similar services in accordance with billing rates to be established in the contract. To the extent that services required by GOSR demand skills or expertise not otherwise provided for in the professional categories described in this RFP or in contractor’s proposal, the parties will negotiate and establish an appropriate category and fee rate compatible with the contractual fee structure.

Deliverables under this Task 5 will be determined as needed at the time any related services tasks are assigned by GOSR.

1.7 Number of Awards

The respondent recognizes that, at the sole discretion of GOSR and based upon the breadth and experience of respondents to this RFP, GOSR may decide to award contracts to more than one respondent. GOSR currently anticipates awarding up to five contracts pursuant to this RFP. AS GOSR determines specific activities requiring monitoring and/or compliance and/or investigations, GOSR anticipates including additional scopes of work to awarded contracts through a mini-bid selection process.

2.0 ADMINISTRATION INFORMATION

2.1 RFP Coordinator

Contact information for the RFP Coordinator is as follows:

Danielle Ruggiero
Governor's Office of Storm Recovery
25 Beaver Street
New York, New York 10004
GOSRProcurement@stormrecovery.ny.gov

2.2 Respondents' Conference and Questions

A conference will be scheduled to discuss this RFP, accept questions, and provide preliminary responses. GOSR is in the process of scheduling the conference and will post an update to the GOSR "Procurement Opportunities" webpage:

<http://stormrecovery.ny.gov/procurement-opportunities>

We strongly encourage interested firms to check the Procurement Opportunities webpage frequently for updates and additional information pertaining to this RFP.

Respondents may also submit questions outside of the conference by e-mail to 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 – Buyouts Demolition**. Answers to all substantive questions, including any substantive questions arising from the respondents' conference, will be posted on the GOSR "Procurement Opportunities" webpage listed above as soon as practical following the deadline for question submission.

All questions must be received by the RFP Coordinator listed above by 8:00 p.m on the date indicated in the RFP timeline section 1.3.

2.3 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 Coordinator, unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a).

GOSR employees also are required to obtain certain information when contacted during the restricted period and make a determination of responsibility of the respondent pursuant to these two statutes. Certain findings of non-responsibility can result in the rejection for contract award and in the event of two (2) findings within a four-year period, the offeror/respondent is debarred from obtaining governmental procurement contracts. Further information about these requirements can be found on the Office of General Services website at <http://www.ogs.state.ny.us/aboutogs/regulations/defaultAdvisoryCouncil.html>.

For all lobbying law contacts and inquiries, please contact:

Chanterelle Sung

Lobbying Contact Officer

Governor's Office of Storm Recovery

GOSRProcurement@stormrecovery.ny.gov

Email must indicate subject: **RE: Lobbying Inquiry**

2.4 Conflicts of Interest

Any contract awarded under this RFP will preclude the selected respondent from representing before GOSR any bidder or grantee of GOSR other than those bidders or grantees who may be assigned under this contract during the period the contract is in effect. 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.

In the event of real or apparent of conflicts of interest, GOSR reserves the right to impose additional conditions upon contractors. GOSR reserves the right to cancel any contract awarded pursuant to this RFP with 30 days' notice in the event that the actual conflict of interest, or the appearance of such conflict, is not cured to GOSR's satisfaction.

3.0 PROPOSAL INFORMATION

3.1 Proposal Instructions

Proposals submitted in response to this RFP must be filed electronically in .pdf file format. Unless otherwise noted, respondents must complete and submit all forms, information, and other documentation listed herein (including, without limitation, any Attachment and Appendix to this RFP) as part of their electronic proposal submissions. Only complete proposals will be evaluated. In all instances, GOSR's determination regarding the completeness of any proposal shall be final.

Proposals must be delivered by email in two parts no later than: **5:00 pm (EDT) on the date indicated in the RFP Timeline in section 1.3 of this RFP.** Part one is to include the Price Proposal. The email subject shall indicate **RE: Bid Proposal for Buyouts Demolition– Price Proposal.** Part two is to include the Technical Proposal along with all attachments and completed forms. The email subject shall indicate **RE: Bid Proposal for Buyouts Demolition – Technical Proposal and Attachments.**

Any proposal delivered after 5:00 pm (EDT) on the deadline indicated in the RFP timeline will be returned. Delivery delays shall not excuse late bid submissions. The respondent is responsible to ensure that emails and attachments are delivered on time in a legible format. Complete proposals, including all multiple parts, must be received by the deadline in order for a proposal to be considered submitted on time. Those submitting a proposal assume all risks associated with delivery. The determination of whether any proposal was received on time is at the sole discretion of GOSR.

All submitted files are to be in Portable Document Format (PDF) compatible with Adobe Reader XI, version 11.0.4.

Proposals shall be submitted by email to:
Ms. Danielle Ruggiero
RFP Coordinator
Governor's Office of Storm Recovery
GOSRProcurement@stormrecovery.ny.gov

All proposals must exhibit the respondent's ability to perform all tasks described under the Scope of Services of this RFP. All subcontractors must be approved by GOSR.

The proposal should otherwise concisely state the respondent's ability to meet the requirements of the RFP. There is a 40-page total limit with the exception 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 responses to this RFP in a consistent and easily comparable format. Proposals not organized in the manner set forth in this RFP may be considered, at the sole discretion of GOSR, as unresponsive. Do not refer to other parts of your proposal, to information that may be publicly available elsewhere, or to the respondent's website or another website in lieu of answering a specific question.

The proposal must be accompanied by a cover letter stating that: (a) the information submitted in and with the proposal is true and accurate; and (b) the person signing the cover letter is authorized to submit the proposal on behalf of the respondent.

3.2 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 part, all proposals submitted and/or cancel this solicitation and reissue this RFP or another version of it, if it deems that doing so is in the best interest of the impacted communities or the State of New York.

3.3 Waiver of Informalities

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

3.4 Withdrawal of Proposal

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

3.5 Ownership of Proposal

All materials submitted in response to this RFP shall become the property of GOSR. Selection or rejection of a proposal does not affect this provision.

3.6 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 ultimately awarded contract(s) and all prices set forth therein shall not be considered confidential or proprietary and such information may be made publicly available.

3.7 Cost of Preparing Proposals

All costs associated with the response to this proposal are the sole responsibility of the respondent.

3.8 Errors and Omissions in Proposal

GOSR reserves the right to reject a proposal 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.

3.9 Award and Execution of Contract

Upon receipt and evaluation of all proposals, GOSR reserves the right to award a contract without further discussion or delay.

3.10 RFP and Proposal as Part of Contract

This RFP and the selected respondent's proposal will become part of any contract between GOSR and the respondent. In the event the terms of the RFP or proposal conflict with the contract, the contract shall control.

4.0 EVALUATION AND SELECTION

4.1 Evaluation Methodology

GOSR will examine all proposals that are received in a proper and timely manner to determine if they meet the proposal submission requirements. Proposals that are materially deficient in meeting the submission requirements or have omitted material documents, in the sole opinion of the GOSR, may be rejected. All proposals meeting the proposal submission requirements will be evaluated.

GOSR will evaluate each proposal based on the "Best Value" concept. This means that the proposal that "optimizes quality, cost, and efficiency among responsive and responsible offerors" shall be selected for award (State Finance Law, Article 11, § 163).

GOSR, at its sole discretion, will determine which proposal best satisfies its requirements. GOSR reserves all rights with respect to the award. All proposals deemed to be responsive to the requirements of this procurement will be evaluated and scored for technical qualities and cost. Proposals failing to meet the requirements of this RFP may be eliminated from consideration. Qualified staff/individuals will evaluate all submitted proposals. GOSR may request clarification of a proposal. The evaluation process will include separate technical and cost evaluations and will be conducted as set forth herein.

Upon review of proposals, GOSR may, at its discretion, submit to respondents written questions and requests for clarification relating to their proposals. If specific sections of the written proposal require clarification, GOSR will identify the section(s) and information requested in writing. Respondents will be provided a reasonable period of time in which to submit written responses to GOSR's requests for clarification. Respondents should respond by the deadline stated in the correspondence.

In addition, GOSR may use the proposal, information obtained through any interviews, and GOSR's own investigation of a respondent's qualifications, experience, ability, or financial standing, as well as any other material or information submitted by the respondent in the course of evaluation and selection under this RFP. GOSR reserves the right to contact other sources not necessarily identified in the proposal to obtain information.

Other than to provide clarifying information as may be requested by GOSR, no respondent will be allowed to alter its proposal or add information.

4.2 Selection Criteria

4.2.1 Experience and Capacity (30 points)

Scored on the respondent's demonstrated experience in executing and delivering program management and oversight of demolition, property maintenance, and related activities undertaken in support of recovery, blight removal, disposition, and redevelopment services. Respondents who have demonstrated experience and success in providing the services as outlined in this RFP for housing grant and loan programs, business grant and loan programs, and a variety of infrastructure development projects will be scored higher than those who do not. In addition to experience, respondents must clearly identify the ability to provide sufficient capacity for the efficient and timely implementation and administration of the program. Respondents that demonstrate they have the staff and many of the deliverables already in place to begin serving disaster-impacted New Yorkers immediately will be scored higher than those who need more time, or whose responses are vague.

4.2.2 Approach and Methodology (30 points)

Respondents that present a clear and straightforward work plan for all aspects of program management and oversight of demolition, property maintenance, and related activities undertaken in support of recovery, blight removal, disposition, and redevelopment 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 that do not. Furthermore, respondents that demonstrate creative leveraging of additional resources, including but not limited to partnerships and/or collaborations with other experienced companies or organizations for any or all aspects of program management, with the same approach towards meeting or exceeding established goals in the delivery of services, will receive the most points. Scored on the respondent's approach to the requested property management and demolitions services as well as the proposed approach to

maintaining compliance with Federal, State, and other applicable regulations, including but not limited to the HUD regulations applicable to CDBG-DR grant funds and State and local regulations with regard to permitting

4.2.3 Price Proposal (20 points)

Proposals will be scored based on price proposal format provided. Respondents that clearly identify a plan for reducing program costs over the life of the program, as key milestones are reached and volume of activity reaches natural break points, and that identifies a clear plan for cost savings measures and/or efficiencies, will receive the most points.

4.2.4 Commitment to Complying with all Applicable Federal, State, and Local Regulations (20 points)

Respondents must show demonstrated understanding of the State's Superstorm Sandy recovery process, as well as all compliance related items such as M/WBE, Section 3, equal opportunity requirements. Respondents who demonstrate a commitment and ability to complying with all applicable Federal, State, and local regulations, including M/WBE and Section 3 income requirements described in Section 1.2 Diversity Requirements will receive the most points.

4.3 Finalist Interview

GOSR reserves the right, at its sole discretion, to invite qualified respondents to a finalist interview. If GOSR elects to conduct finalist interviews, each qualified respondent will be required to give a strictly timed 30-minute presentation with a 15 minute question and answer period to follow. This presentation should highlight the respondent's strategy for engaging GOSR's staff on projects demonstrate knowledge of the CDGB-DR process and discuss its implementation plans. 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.

4.4 Selection of Proposal in Best Interests of the State

Notwithstanding the scoring system set forth above, GOSR reserves the right to select a proposal that, in its sole judgment, is consistent with and responsive to the goals of the GOSR Storm Recovery Programs and the state's CDBG-DR Action Plan, irrespective of whether it is the apparent lowest-priced proposal, if it is determined by the Executive Director of GOSR and the Commissioner of NYS HCR to be in the best interests of the citizens of the State of New York.

4.5 Notification of Selection

The selected respondent(s) will be issued a Letter of Intent to Contract, via overnight or regular post.

5.0 RESPONDENT REQUIREMENTS

5.1 Requirement 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 responses to this RFP. Such respondents shall attach a certificate of good standing from the New York Secretary of State to their proposals.

5.2 Required Qualifications of Respondent

- a) Respondents must demonstrate they have capacity in the following areas, at a minimum:
 - CDBG statutory and regulatory requirements, including specific rules for CDBG-DR funding, and all cross-cutting regulations (e.g., M/WBE, Section 3, NEPA, Uniform Relocation, Davis-Bacon Prevailing Wage)
- b) Federal and state rules regarding lead paint and other environmental health hazards (e.g. mold, asbestos, radon)
 - Contract, Construction, and Project oversight and monitoring
 - Database and records management including provision of suitable documentation to meet operational and program compliance needs.
 - Reporting and metrics
 - Cost Estimating
 - Customer service
 - Outreach and marketing
 - Negotiation and mediation
 - Have experience in property maintenance, including multiple properties in multiple locations.
- c) Additionally, the selected firm must have or hire individuals or firms with all of the qualifications, knowledge, skills and abilities outlined in the attached role descriptions, and/or have a qualified plan to train staff as necessary with the requisite skills and proficiencies.
- d) A proposal may be rejected at any time during the evaluation process and thereafter if there are any adverse findings that would prevent GOSR from selecting the firm or any person or entity associated or partnering with the firm. Such adverse findings include, but are not limited to:

- 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.
- Pending or unresolved legal action from the U.S. Attorney General or from an attorney general in New York or another state.
- Pending litigation with New York State, any other state, or a municipality located in New York or another state.
- Arson conviction or pending case.
- Harassment conviction or pending case.
- Local, State, Federal or private mortgage arrears, default, or foreclosure proceedings.
- In rem foreclosure.
- Sale of tax lien or substantial tax arrears.
- Fair Housing violations or current litigation.
- Defaults under any Federal, State or locally-sponsored program.
- A record of substantial building code violations or litigation against properties owned and/or managed by the Applicant or by any entity or individual that comprises the applicant.
- Past or pending voluntary or involuntary bankruptcy proceeding.
- Conviction for fraud, bribery or grand larceny.
- Listing on the federal or state excluded parties lists

e) In addition, respondents should meet the following desirable qualifications:

- Project Staff. Contractor shall provide competent and qualified project staff as specified for the applicable task schedule in the Scope of Work. No member of the project staff will be allowed to start working on the program until they are officially authorized by the GOSR.
- The Contractor is expected to provide a sufficient number of personnel, including a Project Manager for Demolition and a Project Manager for Maintenance, Financial Administrator, Subject Matter Experts (environmental, CDBG, historic, lead paint, asbestos, other hazardous materials, communications etc.), Crew Supervisors to supervise the Monitors, Clerical Support, Data Base Specialists including a GIS Trained Specialist, and Monitoring Staff during the peak workload period of the contract. Contract personnel will be assigned as requested by the GOSR based on staff needs and level of effort required for completion of work.

f) Without limiting the broad scope of this description, expertise will be required in the following specific areas:

- Compliance with the requirements of the State Historic Preservation Officer (SHPO), federal guidelines, and local government requirements pertaining to historic or other protected properties, including procedural obligations, permitting and approval, archiving, deconstruction, and demolition.

- Surveying on an as needed basis to address property location, dimension, and encroachment issues that arise in the course of the work.
 - Municipal and parish permitting and adjudication processes.
 - Environmental assessments and preparation of environmental review records consistent with the National Environmental Policy Act (NEPA), its general implementing regulations, and the specific application of those requirements to HUD programs as described in 24 CFR Part 50, 51, 55, and 58, as well as related statutes and regulations.
 - Providing an electronic tracking and database of GOSR properties, including photographs.
- g) It is preferred that contractor resources have experience and qualifications for the following classifications as stated below:
- Project Managers should have all of the following:
 - Seven or more years of large-scale project management experience
 - At least five years of experience in the management of multiple demolition projects or contracts
 - Excellent public relations skills
 - Working knowledge of CDBG-type programs
 - Experience and working knowledge of the HUD and state regulations relative to lead paint, environmental regulations, asbestos, etc.
 - Experience with developing electronic monitoring scheduling, tracking, and reporting systems
 - Consensus building abilities
 - Change management experience
 - Contract negotiation experience
 - Large project procurement experience
 - Public sector experience
 - Subject Matter Experts should have large scale project experience contributing at a senior functional analyst or subject matter expert capacity level and expertise credentials in one or more of the following:
 - Working knowledge of CDBG-type programs.
 - Experience and working knowledge of the HUD and state regulations relative to lead paint, environmental regulations asbestos, etc.
 - Experience with developing electronic monitoring scheduling, tracking, and reporting systems for the Demolition Program.
 - Experience in demolition and debris removal services
 - Accreditation as an asbestos contract supervisor, building inspector, or lead inspector
 - Excellent public relations skills
 - Change management experience
 - Consensus building abilities
 - Public sector experience

- h) Respondents to this RFP shall provide information in their proposals that demonstrates the following qualifications:
- Respondent has adequate financial resources to perform the contract, or the ability to obtain them. Financial records for the past 2 years must be included in the proposal.
 - Respondent is able to comply with the required or proposed delivery or performance schedule, taking into consideration all existing commercial and governmental business commitments.
 - Respondent has a satisfactory performance record.
 - Respondent has a satisfactory record of integrity and business ethics.
 - Respondent has the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them.
 - Respondent is otherwise qualified and eligible to receive an award under applicable laws and regulations.
 - Respondent has thoroughly reviewed the Disaster Relief Appropriations Act, 2013 (Pub. L. 113-2) and all pertinent Federal Register notices.
 - Respondent has thoroughly reviewed the New York State Action Plan and all amendments thereto.
 - Respondent has managed and provided clients with project-level updates and program-level progress reports during the application development, design, and construction phases of CDBG-DR funded projects.
 - Respondent has coordinated multiple CDBG-DR projects to meet client deadlines.
 - Respondent has successfully provided CDBG-DR professional services, or similar, in urban and/or metropolitan environments. Respondent should document the number, type, and total dollar value of projects completed in this class of communities, highlighting projects that were infrastructure and/or economic revitalization focused.
 - Respondent has successfully provided CDBG-DR professional services, or similar, to State or local agencies. Respondent should document the number, type, and total dollar value of projects completed, highlighting projects that were infrastructure and/or economic revitalization focused.
 - Respondent has adequate financial resources to perform the contract, or the ability to obtain them.
 - Respondent is able to comply with the required or proposed delivery or performance schedule, taking into consideration all existing commercial and governmental business commitments.

5.3 Proposal Format

The respondent's proposal should be formatted as follows:

5.3.1 Cover Letter and Table of Contents

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

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

5.3.2 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 or that are expected.

Submit a completed Respondent Overview form (Page 1 of the RFP Appendices), which includes the name, address, telephone, fax, and email of the respondent and the names of all principals and staff that will be providing the requested services.

5.3.3 Experience and Capacity

Experience

Provide a summary of the types of services the respondent offers that relate to this RFP. Provide specific details on any previous experience with housing-related disaster recovery. Identify engagement with entities comparable to New York State for which the respondent provides or has provided, similar services within the last (5) years. Detail at least three (3), but no more than five (5) similar engagements with private and public sector clients of similar size and complexity to the State that would demonstrate that the respondent can provide the services. Each example should include:

- a) Name of client organization.
- b) Description of engagement and objectives of the project including beginning and ending dates.
- c) Examples of recommendations offered to the client and the results of the implementation of those recommendations.

- d) 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.
- e) If the example involves a private sector client, describe how the experience could be applied to the public sector.

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 may be used by GOSR for proposal evaluation purposes. 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 proposal evaluation period. Inability to contact a reference will not be looked upon favorably.

GOSR reserves the right to deploy, at its sole discretion, a variety of methods and communication approaches to contact references, depending on what the State deems to be the most effective and efficient manner.

Describe the respondent's experience in complying with CDBG requirements, including but not limited to: accessibility requirements of the Americans with Disabilities Act and implementing regulations; Executive Order 11246, Environmental Review Procedures and related matters at 24 CFR 51, 51, 55, and 58; the National Environmental Policy Act regulations (43 FR 55978 (1978)), as applicable; and requirements of the Uniform Relocation Act, if applicable. Include a positive statement of compliance with CDBG requirements. Describe any prior engagements in which the respondent assisted a governmental entity in dealings with CDBG and any other projects relating to this subject. Provide names and telephone numbers for references for all such engagements.

If a respondent will be subcontracting or partnering for any portion of the work, please also summarize the qualifications and experience of their relevant staff and attach any contracts or agreements pertaining to the proposal. **Please provide at least three (3) references for the respondent and for any partners or sub-contractors. 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.

Provide an organizational chart that clearly illustrates where all case management and master program management functions will fit in the overall organizational framework.

Provide the résumés and professional qualifications of the respondent's principals, project managers, CDGB-DR grant consultant services, project engineering, program management technical support, and/or professional services, including degrees, licenses, and years of relevant experience. This should include resumes and/or curricula vitae that show

application skills for database administrators and other information technology related technical support.

In addition, identify sub-consultants and subcontractors, such as structural engineers, asbestos and lead abatement specialist and testing labs with their relevant experience.

Specify the primary contact person, including his/her name, title, address, telephone number, and e-mail address.

Capacity to Perform Services

Submit a summary of the qualifications of staff that will be assigned to the project, including the availability of any relevant subject matter experts. Demonstrate and document how the team and staff proposed have designed and deployed the services described in paragraph 5.3.4 (Approach and Methodology) for communities comparable in size, scope, and complexity to this effort.

Provide copies of the respondent's previous three years' financial statements, preferably audited. Provide evidence of adequate financial stability through the most recent certified financial statements, including a balance sheet and income statement. GOSR reserves the right to request any additional information to assure itself of a respondent's financial status.

Provide a description of current contracts and obligations for the next 24 months to demonstrate capacity.

Detail at least 3 projects from the last 5 years that demonstrate how the respondent's approach has achieved success in specific, relevant projects, particularly those that are comparable in size, scope and complexity to this effort. The proposal must contain enough information for the evaluators to ascertain the success of the projects accomplished by the respondent, and include evidence that demonstrates that those plans and the respondent's approach were indeed successful.

5.3.4 Approach and Methodology

Explain how the respondent will achieve the goals, objectives, tasks, and deliverables outlined in this RFP. Set forth a detailed narrative describing the unique process the respondent would apply to monitoring and compliance services. Outline the respondent's approach to streamlining monitoring processes to provide successful and timely services to GOSR. Address why the proposed approach is appropriate and suited for the affected counties in New York State.

Further, describe fully any similar experience for projects for public and/or private sector organizations similar in size (both in terms of size of workforce and budget) and complexity to New York State government. **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.** The

Technical Proposal must contain enough information for the evaluators to ascertain the success of the projects accomplished by the Firm, and include the metrics and factors used to demonstrate that those projects and the Firm's approach was indeed successful.

This section must include an acknowledgement that, if selected, the Firm has the ability to respond with sufficient key and line staff and that those key staff approved by the GOSR as part of the contract, including Engagement Partners, Project Managers, Management Analysts, Investigators, and Auditors/Accountants, will continue to be available for those assignments.

Identify existing staff that will be involved in ongoing program management, including each staff member's proposed role in the organization, their relevant qualifications, and the allocation of their time to this project. Additionally, clearly identify the staff to be employed, including staff that will need to be hired, the process for hiring them, and how they will be trained. Indicate if any work will be subcontracted to other partners. If so, please provide a pending or executed contract, MOU, or agreement. If the agreement is pending a successful proposal, it must be executed and a copy submitted to GOSR prior to the execution of the contract awarded pursuant to this RFP. Clearly detail and describe the respondent's approach to start-up of operations.

Provide the following information:

- a) Timeline
 - Provide a detailed work plan with corresponding timeline that identifies date-specific milestones for hiring, training, supply purchases and other key components of the program.
- b) Start-up of Operations
 - Identify existing staff who will be involved in ongoing program management, including each staff member's proposed role in the organization, their relevant qualifications, and the allocation of their time to this project. Additionally, clearly identify the staff to be employed at the Recovery Offices, including staff that will need to be hired, the process for hiring them, and how they will be trained. Indicate if any work will be subcontracted to other partners. If so, please provide a pending or executed contract, MOU, or agreement. If the agreement is pending a successful proposal, it must be executed and a copy submitted to GOSR prior to the execution of the contract under this RFP. Clearly detail and describe the respondent's approach to the other deliverables listed for Start-up of Operations.
- c) Program Level Functions and Quality Control
 - Outline procedures for ensuring compliance with all federal and state requirements, including but not limited to CDBG-DR eligibility requirements, hiring and contracting requirements, Section 3, federal and state labor standards, and MWBE compliance. Provide detail on the respondent's anticipated monitoring plan.

d) Demolition Case Management

- Explain how the respondent will implement the policies and procedures for the property maintenance and demolition process. Provide any relevant recommendations to improve the process flow to increase processing speed and efficiency, to avoid cost overruns, and to prevent waste, fraud, and abuse. Demonstrate how the respondent proposes to work with the GOSR on any necessary modification of policies and procedures identified during the course of program implementation and administration, and the process by which those policy and procedure changes will be identified and drafted by the respondent, approved by the GOSR, and disseminated by the respondent to program staff and interested parties.
- Experience of employees to be assigned to the project including resumes of principal and professional staff.
- Quality of work product as demonstrated in submitted work samples.
- Experience with large-scale “CDBG” funded Disaster Recovery projects or the “CDBG” HOME and Project-Based Voucher program.
- Innovative or outstanding work by the firm, or approaches or methodology which demonstrates the firm’s unique qualifications to provide the requested services and data storage plan and filing system in compliance with HUD Regulations.
- Number, complexity, and nature of disaster recovery HUD CDBG services handled by the firm as well as experience with governmental entities.

A finalized list of subrecipients, projects, and work locations will not be fully known prior to the RFP submission deadline. Despite these constraints, the activities and key deliverables outlined in the Scope of Services and Key Deliverables are consistent and meant to provide respondents with information necessary to decide if they wish to respond to this RFP.

5.3.5 Price Proposal

The Price Proposal must be included as (Attachment 1) in the format provided by GOSR. If electing to submit an Alternate Cost Structure, the respondent must also submit a completed Price Proposal Form in accordance with the instructions above. The Alternate Cost Structure must also include in its fees any reproduction, travel, postage, or other expenses and otherwise abide by the terms and conditions related to submitting a price proposal as described herein. Respondents that do not submit a completed Price Proposal Form will not be evaluated.

Submitted Price Proposal must include the following:

- a) Total estimated firm compensation fee and proposed unit prices for property management and single-family home demolition management, and whether the firm would be willing to agree to a cap.
- b) The normal hourly rate of each principal and staff member whose resume is provided or whose job category may be required, and the rate used in the proposal.
- c) A list of anticipated reimbursable expenses and the rate charged for each.

- d) Any reduced fees offered to other municipalities, governmental entities, economic development or nonprofit organizations, and civic organizations.
- e) Any other fees or charges.

For GOSR to consider an Alternate Cost Structure, the proposal must include:

- a) A completed Price Proposal Form with hourly rates
 - b) A detailed description of the Alternate Cost Structure including staff qualifications, number of hours worked per unit billed, rate (daily, weekly), and other relevant information
- A detailed explanation of how the hourly rates proposed in the Price Proposal Form equate to the Alternate Cost Structure

5.3.6 Commitment to Complying with all Applicable Federal, State, and Local Regulations

Pursuant to New York State Executive Law Article 15-A (“Article 15-A”), HTFC recognizes its obligation to promote opportunities for maximum feasible participation of certified M/WBEs, and the employment of minority group members and women in the performance of HTFC contracts. GOSR/HTFC encourages firms that are M/WBE certified to submit proposals in response to this RFP.

In 2006, the State commissioned a disparity study to evaluate whether M/WBEs 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 M/WBEs in State procurement contracting versus the number of M/WBEs 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 M/WBE program. The recommendations from the Disparity Study culminated in the enactment and the implementation of Article 15-A, which requires, among other things, that HTFC establishes goals for maximum feasible participation of State certified M/WBEs and the employment of minority group members and women in the performance of HTFC contracts.

Business Participation Opportunities for MWBEs

GOSR/HTFC is committed to achieving significant M/WBE participation in its contracts and will use good faith efforts to ensure that qualified M/WBE firms are included in the selection of a firm to provide the above-described services. For purposes of this solicitation, the Corporation has established an overall goal of 20% for M/WBE participation for the above-described services performed under the contract(s) awarded pursuant to this RFP with 10% for Minority-Owned Business Enterprises and 10% for Women-Owned Business Enterprises.

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

Note that under Article 15-A, respondents must document good faith efforts to provide meaningful participation by M/WBE firms for the above-described services. Willful and/or intentional violation of this obligation may result in the imposition of liquated damages or other appropriate sanctions, including, without limitation, suspension of any future contracts with HTFC and monetary payments based on the M/WBE goal shortfall.

The directory of New York State Certified M/WBEs can be viewed at <http://www.esd.ny.gov/MWBE.html>. For further information or assistance relating to M/WBE partnering arrangements, contact GOSR via email at MWBE_EEOCreports@stormrecovery.ny.gov.

Please include the following in proposal:

- (a) If the respondent is a State-certified M/WBE firm, provide documentation evidencing registration. For M/WBE 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 M/WBE firms on previous transactions by engaging in joint ventures or other partnering or subcontracting arrangements. Proposals 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 M/WBE partnering or mentoring arrangements with a M/WBE 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 or mentoring 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.

5.3.7 Vendor Responsibility

Complete and include in the proposal a Vendor Responsibility Questionnaire, the form for which can be found at 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.

5.3.8 Affirmation of Understanding Form

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.

5.3.9 Offeror Disclosure of Prior Non-Responsibility Determinations Form

Complete and sign the Offeror Disclosure of Prior Non-Responsibility Determinations, attached hereto as Appendix B.

5.3.10 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 requirements of applicable federal requirements. Any funds disallowed by any federal government entity shall be disallowed from fee or compensation to contractor.

5.3.11 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. 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 made by HUD.

5.3.12 Standard Clauses for Contracts with HTFC

Because the ultimate 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. 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 III, and any subsequent changes deemed appropriate by HTFC.

Price Proposal: Attachment 1

Please complete the chart below by including your estimated prices for daily property management and complete demolition management in the specified counties. Additional counties may be identified by GOSR in the future. Once specific properties are identified, the selected firm will be expected to enter into an agreement containing maximum payment amounts per property.

Scope Element	Estimated # of Properties	Estimated # of Days	Estimated price per property per day	Estimated Total Price
Richmond County Property Management	600	60		
Nasau County Property Management	300	60		
Suffolk County Property Management	400	60		
Richmond County Demolition Management	600			
Nasau County Demolition Management	300			
Suffolk County Demolition Management	400			
Total				

Please clearly identify your total estimated firm price and proposed prices for property management and single family home demolition as indicated in the chart. In addition, please provide:

- a) A calculation showing how the total estimated price is developed from the firm’s proposed personnel team, hourly rates and other costs.
- b) The normal hourly rates of each principal and staff member whose resume is provided or whose job category may be required, and the rate used in the proposal.
- c) A list of anticipated reimbursable expenses and the rate charged for each.
- d) Any reduced fees offered to other municipalities, governmental entities, economic development or nonprofit organizations, and civic organizations.
- e) Any other fees or charges.

Attachments and Appendices

Attachment 1 – Price Proposal – Instructions & Table

Page 1 in RFP Appendices – Respondent Overview

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

Appendix B – Offeror Disclosure of Prior Non-Responsibility Determinations

Appendix I – HUD General Provisions

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

Appendix III – Diversity Forms

Appendix IV – Construction Requirements and Procedures for Contracts with Housing Trust Fund Corporation