GOVERNOR'S OFFICE OF STORM RECOVERY

Andrew M. Cuomo
Governor

Seth Diamond
Director

James Rubin
Director

GOVERNOR'S OFFICE OF STORM RECOVERY

Request for Proposals

for

Professional Services
for
Community Development Block Grant-Disaster Recovery
Project Coordinators

March 14, 2014

Responses must be received by
3:00 p.m. (Eastern), April 16, 2014

Table of Contents

1.0 GENERAL INFORMATION 3
1.1 Purpose 3
1.2 Background 3
1.3 Description of Programs 4
1.4 Scope of Services 6
1.5 Key Deliverables 7
1.6 Number of Awards 10
2.0 ADMINISTRATION INFORMATION 10
2.1 RFP Coordinator 10
2.2 Respondents' Conference and Questions 11
2.3 RFP Timeline 11
2.4 Procurement Lobbying Provisions 11
3.0 PROPOSAL INFORMATION 12
3.1 Proposal Instructions 12
3.2 Rejection of Proposals; Cancellation of RFP 13
3.3 Waiver of Informalities 13
3.4 Withdrawal of Proposal 13
3.5 Ownership of Proposal 13
3.6 Proprietary Information 13
3.7 Cost of Preparing Proposals 13
3.8 Errors and Omissions in Proposal 13
3.9 Award and Execution of Contract 14
3.10 RFP and Proposal as Part of Contract 14
4.0 EVALUATION AND SELECTION 14
4.1 Evaluation Methodology 14
4.2 Selection Criteria 14
4.3 Finalist Interview 15
4.4 Selection of Proposal in Best Interests of the State 15
4.5 Notification of Selection 15
5.0 RESPONDENT REQUIREMENTS 16
5.1 Requirement of Legal Entities 16
5.2 Required Qualifications of Respondent 16
5.3 Proposal Format 18

1.0 GENERAL INFORMATION

1.1 Purpose

The Governor's Office of Storm Recovery ("GOSR") of the Housing Trust Fund Corporation ("HTFC") is seeking to retain professional services firms to support the administration and management of programs and projects funded by 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 through subrecipient agreements. It may also directly administer programs and projects through a variety of vendors and other contractors. GOSR is specifically seeking firm(s) with demonstrated experience managing CDBG-DR funds to provide project management expertise to coordinate, plan, manage, and implement a variety of programs and projects, including infrastructure and local community-driven disaster recovery projects throughout the Superstorm Sandy and Hurricane Irene/Lee affected areas. In addition to project management and coordination activities, the selected firm(s) 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.

The selected firm(s) will be state-funded and report to GOSR, but will work directly with communities, subrecipients, and other contractors or vendors to support the administration of the CDBG-DR Infrastructure and Local Government and New York Rising Community Reconstruction program.

1.2 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, 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 being able to use funds to address areas impacted by Superstorm Sandy, Hurricane Irene, and Tropical Storm Lee.

In February 2013, HUD announced an initial allocation of funds from the $16 billion 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.

HUD approved the Action Plan on April 25, 2013. New York State Homes and Community Renewal ("NYS HCR"), through its Office of Community Renewal ("OCR") and HTFC, is tasked with overseeing the administration of the CDBG-DR funds. In June 2013, Governor Andrew M. Cuomo established GOSR as a division within HTFC to maximize the coordination of recovery and rebuilding efforts in storm-affected municipalities throughout New York State and directed it administer CDBG disaster recovery funds. GOSR will administer the program through a variety of organizations and municipalities through subrecipient agreements. Depending on the specific program or project, GOSR may also choose to directly administer activities through contractors or other vendors.

The State's initial Action Plan focused primarily on (1) addressing the immediate housing and business assistance needs in the communities affected by recent storms; and (2) assisting governments cover emergency expenses, providing matching funds necessary to repair and mitigate storm damaged infrastructure and providing funds for critical infrastructure assets that were storm impacted. The State also worked with storm-damaged communities to begin a comprehensive community-based planning process known as the New York Rising Community Reconstruction Program.

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 ("Amendment 6") for public comment in February 2014. Amendment 6 adds funding to existing programs underway and prioritizes repairs to and mitigation of infrastructure , further assisting impacted local and county governments, as well implementing the New York Rising community-driven planning process that will provide funds to rebuild and restore community assets, improve resilience and drive economic growth. Amendment 6 will be formally submitted to HUD for approval in March 2014. GOSR expects to have access to these additional funds by June of 2014.

The Action Plan and all amendments are located on the GOSR website at:

http://www.stormrecovery.ny.gov/action-plans-and-amendments

1.3 Description of Programs

The services to be procured under this RFP will support two programs, the Infrastructure and Local Government Program and the New York Rising Community Reconstruction ("NYRCR") Program.

1.3.1 Infrastructure and Local Government Program

The initial Action Plan allocated $350 million to the Infrastructure and Local Government Program to create programs to assist units of government to pay the non-federal share, or "local match," for infrastructure projects funded with non-HUD federal recovery funds, as well as for "stand-alone" CDBG-DR infrastructure and local government projects that would assist communities in recovering from Sandy, Irene, and Lee. The services to be provided pursuant to this RFP will support the stand-alone CDBG-DR portion of the program. Through a separate RFP, the State has procured a contractor to assist GOSR with the local match process. It is expected that the contractor(s) selected under this RFP will work closely with this contractor for the match program to sequence recovery and rebuilding of infrastructure assets.

.

Under the initial Action Plan, $218,820,000 was allocated to address non-federal share match needs and $138,180,000 was provided to address stand-alone CDBG-DR projects. Under Amendment 6, the allocation to the Infrastructure and Local Government Program will be increased by $430 million, bringing the total program budget to approximately $780 million. Of that $780 million, $257,300,000 is set aside to fund stand-alone CDBG-DR projects that are needed by State agencies, public authorities, and other units of local government.

Throughout the summer and fall of 2013, GOSR assessed and identified needs for this program. Some of the stand-alone projects are expected to be highly technical and complex in nature, with total CDBG-DR funds provided exceeding $50,000,000. These large initiatives include critical infrastructure projects in the energy, transportation, water and wastewater, health care, and coastal restoration sectors. The program also expects to fund smaller projects to address other local government and school-based needs. Most of the infrastructure and local government projects funded through this program will utilize CDBG-DR funds in addition to other federal and state fund sources. This will require considerable coordination and oversight to ensure that duplication of benefits is avoided and that the sequencing of funds is achieved in a manner that is compliant with HUD regulations.

1.3.2 New York Rising Community Reconstruction Program

The initial Action Plan allocated $25 million to initiate a robust, community-driven planning process for the most impacted regions of the State, known as the New York Rising Community Reconstruction Program. Amendment 6 allocates an additional $639,510,794 to the NYRCR Program, bringing the total allocation to $664,510,794. The additional funds allocated under Amendment 6 will be used to implement projects identified in the planning process and are part of this RFP.

Under the program, 102 localities were originally organized into 45 committees, each tasked with developing community-driven recovery priorities and projects for that area. Each

planning committee included members of the public, including representatives of vulnerable populations, as well as the leaders of established organizations and businesses in the community.

By February 2014, the NYRCR Program had hosted approximately 100 public engagement events and nearly 300 planning committee meetings. Furthermore, each of the 45 planning committees had submitted grassroots, community-driven conceptual plans for their community reflecting work in progress. By the end of March 2014, each committee will produce a Final Community Reconstruction Plan that outlines proposed projects and other actions in six recovery areas: community planning and capacity building, economic development, health and social services, housing, infrastructure, and natural and cultural resources. GOSR anticipates that these Final Community Reconstruction Plans will generate 300-500 CDBG-DR projects across a wide range of eligible activities for implementation in the State. In December of 2013 the State added 22 additional communities to the NYRCR Program resulting in up to 16 additional planning committees. The planning process for these new planning committees will commence in April 2014. The work completed by these new planning committees will result in additional CDBG-DR funded projects, such that the total number of projects likely to be part of this RFP will range from 400 to 650.

Because the NYRCR Program is a grassroots, community-driven process with the goal of coordinating recovery and resiliency at a local level, it is anticipated that there may be a large number of subrecipients implementing NYRCR projects. The size of individual projects based on the dollar value of CDBG-DR contribution is not expected to exceed $25 million in any case. The vast majority of projects will involve less than $3 million of CDBG-DR funds, and there will be many projects that are even less costly. There is also expected to be a strong desire in some communities to have grant coordinators transfer knowledge and train local staff in how to design, build, and implement a Community Development Block Grant ("CDBG") project and/or how to utilize regional expertise in the project area.

1.4 Scope of Services

The scope of services to be provided includes the following:

(a) Provide project management and CDBG-DR technical assistance to GOSR and subrecipients, as well as other contractors and vendors.

(b) Work closely with subrecipients to develop and execute subrecipient agreements, Memoranda of Understanding, and applications for CDBG-DR funded programs and projects, ensuring compliance with all HUD, New York State, and GOSR requirements and timeframes.

(c) Assist subrecipients in developing CDBG-DR pre-applications, applications and related processes; coordinating the execution of legal documents entered into with GOSR following established protocols and procedures; completing permitting and environmental reviews; and meeting all relevant HUD and New York State procurement requirements (from procurement to construction to close out).

(d) 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.

(e) Provide an overall project or engagement manager who will report to GOSR staff in New York City.

(f) 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.

(g) Commence work within one month of contract award. Initial work will include initiating meetings with GOSR staff, Community Reconstruction Program leaders, subrecipients and/or developing CDBG-DR pre-applications or applications.

1.5 Key Deliverables

Timelines for required submission of key deliverables will be articulated in the task orders under the contract(s) to be awarded pursuant to this RFP. These timelines will be tied to the HUD draw-down and spending requirements issued with regard to the use of these CDBG-DR funds.

The key deliverables that may be required include the following:

(a) **Development of Web Based Project Management System.** Provide to GOSR a web-based tool that will allow it to track and manage the progress of all CDBG-DR projects for which the contractor is providing support services. The project management system must detail and document each project as it moves from the concept phase through the legal, financial, design, construction, and completion phases. The tool should incorporate key metrics that all CDBG-DR projects must meet to remain compliant and eligible for funding, in addition to standard project management and construction components. This system will serve as the initial deliverable and must be delivered to and accepted by GOSR within 45 days of contract award.

(b) **Development of Detailed Project Plan, Deliverables, and Timeframes.** Upon engagement for a project, develop a detailed project plan clarifying the scope, deliverables, timeframes, and the resources required to successfully move forward with the engagement.

(c) **Certification of Project-Specific File Structures and Back-Up.** Closely related to the web-based management tool, provide to GOSR a plan of how the contractor will maintain, compile, and back-up information that is required and necessary for a CDBG-DR project to be implemented and meet HUD reporting requirements. This must include but is not limited to task orders, executed subrecipient and

cooperative endeavor agreements, pre-applications, Architectural and Engineering drawings, environmental review documentation, procurement and bid documentation, completed applications, and monitoring and compliance protocols. Additionally provide to GOSR a plan to certify that requests for payment meet GOSR and HUD protocols.

(d) **Certification of Office Location and Staffing for the Contract Period.** Submit to GOSR the locations of offices to be maintained, along with staffing assignments at the subrecipient level. In the event that a subrecipient has a large number of individual projects, GOSR will require confirmation of staff assignments at the subrecipient and project level.

(e) **Initial Meetings and Written Assessments to GOSR**. Meet with subrecipient to determine the subrecipient capacity and level of project management support needed for the project, filing awritten report memorializing the outcome of these meetings and analysis. The initial meeting will occur only after the contractor's assigned project lead has met with the GOSR staff member who is most familiar with the potential project and the subrecipient. The GOSR staff member will provide documentation on the project in addition to qualitative and location-specific information that will be valuable to the contractor as it assists the subrecipient. The contractor's project lead will work with this GOSR staff member to address issues that may develop during the life of the specific project.

After meeting with subrecipient, provide to GOSR in a written report a professional assessment of the anticipated type and level of support that will be necessary to complete the CDBG-DR project. At a minimum, the report will include a proposed timeline for interaction with the subrecipient on the project, when GOSR can expect to receive binding legal documents, and when GOSR can expect to receive pre-applications. This report should assess capabilities of the subrecipient that will facilitate implementation of the project, but it also must highlight concerns that the contractor has about project eligibility and/or the capacity of the subrecipient to comply with the terms of the grant so that it remains in compliance with HUD and State regulations. This assessment is a key deliverable as it will allow GOSR staff to address any project-level concerns early on this process, thereby mitigating potential problems in the future.

(f) **Development and Execution of Subrecipient Agreements.** This deliverable is met when all assigned subrecipient agreements have been completed and the subrecipient, and GOSR, have received signed executed copies from all parties. The contractor will utilize GOSR subrecipient and contract templates, and will communicate and provide technical assistance on any federal requirements related to the use of CDBG-DR funds. As part of the development of subrecipient agreements, the contractor will help develop agreements with clearly-identified deliverables, timeframes, levels of performance, and payment schedules. Based on the number of subrecipient agreements assigned, this deliverable may be paid on a percentage-complete basis that may be negotiated.

(g) **Submission of Project-Specific Pre-Applications to GOSR.** This deliverable is met when all assigned project-specific pre-applications are received by GOSR. At contract award, GOSR will provide this pre-application form. GOSR understands that there may and most likely will be necessary clarification and revisions to pre-applications so that projects are CDBG-DR eligible and can proceed; however, to meet this deliverable all pre-applications must be submitted to GOSR. Additionally, due to the HUD spending timeframes imposed with this grant, as part of contracting process the contractor and GOSR will negotiate and agree to a date by which all pre-applications must be accepted and approved by GOSR. Based on the total number of projects assigned, this deliverable may be negotiated to be paid on a percentage-complete basis.

(h) **Completion of Project Design and Permitting.** This deliverable is met when architectural and design work for each assigned project has been submitted to GOSR and all necessary permitting requirements, including Environmental Record Review ("ERR") and other Federal and State permitting components, have been met. These HUD-required components will require the contractor to work closely with GOSR, the New York State Department of Environmental Conservation ("NYS DEC"), and other State and Federal authorities. The contractor is required to manage and coordinate this key project-management component. As part of the contractor's reporting process, GOSR will pay particular attention to this phase of the project pipeline and will require that the contractor develop consistent, meaningful, and useful reports so that projects can be monitored and advance in a timely manner. Respondents are reminded that Congress has implemented aggressive spending timeframes on HUD with these grant funds that require projects to be built within two years of drawing funds. Projects that are outside of this timeframe will require GOSR to file an extension request. As part of the contracting process, the contractor and GOSR will negotiate and agree to a time period whereby all A & E and permitting work must be completed. Based on the total number of projects assigned, this deliverable may be negotiated to be paid on a percentage-complete basis.

(i) **Full CDBG-DR Application Acceptance by GOSR.** This deliverable is met when all project-specific CDBG-DR project applications for the subrecipient(s) assigned to the contractor have been completed and submitted to and approved by GOSR. This deliverable is expected to occur shortly after the project design and permitting requirement has been met, as the pre-application, project design, and permitting process should facilitate completion of the full application and expedite review by GOSR. Based on the total number of projects assigned, this deliverable may be negotiated to be paid on a percentage-accepted basis.

(j) **Completion of Project Procurement and Bid Processes.** This deliverable is met when each assigned project has been publicly bid and procured in compliance with all Federal and State requirements and all pre-construction phases are complete. This deliverable will specifically be met when all the required

supporting materials and documentation for each project are recorded and contained in the project specific folder. Based on the total number of projects assigned, this deliverable may be negotiated to be paid on a percentage-of-bid-packages-complete basis.

(k) **Construction Phase.** This deliverable is met as construction ensues and the construction phases for projects progress. Payment for the services will be made on a per-project, percent-of-construction-complete basis: 25%, 50%, 75% and 100% complete. To document these thresholds and meet the deliverable requirement, GOSR will calculate the percentage of the project that has been completed based on the bills and receipts it has received for reimbursement. The percentage completed will be calculated based on the total project cost as contained in the final accepted bid document(s) and any other properly executed modifications or amendments to such documents. To meet this deliverable, the original bills, supporting materials, and documentation for the project must have been sent to GOSR for processing, along with electronic copies of those documents. Based on the total number of projects, length of time to complete the construction phase, and dollar value of the specific projects, this deliverable may be negotiated to be paid at differing percent-complete ratios for this deliverable.

(l) **Completion of Project Close-Out.** This deliverable is met when all assigned projects have been closed out. This close–out process will be defined and agreed to by GOSR and the contractor during the construction phase.

1.6 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 multiple contracts pursuant to this RFP, which will be further competed at the task order level among interested contractors.

Nothing in this paragraph 1.6 shall be construed in derogation of GOSR's right, in its sole discretion, to cancel this RFP.

2.0 ADMINISTRATION INFORMATION

2.1 RFP Coordinator

Contact information for the RFP Coordinator is as follows:

Scott Karvelis
Governor's Office of Storm Recovery
25 Beaver Street
New York, New York 10004
skarvelis@stormrecovery.ny.org

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 NYS HCR "Procurement Opportunities" webpage:

http://www.nyshcr.org/AboutUs/Procurement/DHCRindex.htm

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 mail or e-mail. Answers to all substantive questions, including any substantive questions arising from the respondents' conference, will be posted on the NYS HCR "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 7:00 p.m. (Eastern) on April 8, 2014.

2.3 RFP Timeline

Target Date	Event
March14, 2014	Release of RFP
April 4, 2014	Anticipated Respondents' Conference
April 8, 2014	Last Day to Submit Questions – **7:00 p.m. (Eastern)**
April 11, 2014	Issuance of Answers to Questions
April 16, 2014	Proposal Submission Deadline – **3:00 p.m. (Eastern)**
April 25, 2014	Finalist Interviews (if elected by GOSR)
May 1, 2014	Target Date for Selection

Please note that the RFP timeline includes target dates and may change. It is the responsibility of respondents to periodically review the GOSR and HTFC websites for regular updates to the RFP timeline and other important information, which may alter the terms or requirements of this RFP.

2.4 Procurement Lobbying Provisions

Pursuant to State Finance Law §§ 139-j and 139-k, this RFP includes and imposes certain restrictions on communications between GOSR/HTFC 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/HTFC 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/HTFC 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.

3.0 PROPOSAL INFORMATION

3.1 Proposal Instructions

Respondents to this RFP must submit sealed proposals that contain all mandatory information specified in the RFP. 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 Appendix to this RFP) as part of their electronic proposal submissions. Only complete proposals will be evaluated. In all instances, GOSR/HTFC's determination regarding the completeness of any proposal shall be final.

Proposals must bear the signature of the respondent's authorized representative and must be delivered to the RFP Coordinator listed above **by or before 3:00 p.m. (Eastern) on April 11, 2014.**

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/HTFC. All bid prices shall remain valid until May 1, 2014.

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/HTFC 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/HTFC, 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/HTFC 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 rates 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 RFP 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 or contracts without further discussion or delay.

3.10 RFP and Proposal as Part of Contract

This RFP and a 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

Responses to this RFP will be evaluated by GOSR/HTFC and other experts based on the criteria outlined in paragraph 4.2. It is the intent of GOSR to select and contract with the most qualified respondent(s) to this RFP.

4.2 Selection Criteria

4.2.1 Experience and Capacity (**35 points**)

Scored on the respondent's demonstrated experience in executing and delivering multiple infrastructure, community and local-government based CDBG-DR projects comparable in size, scope and complexity to the effort described in this RFP. Additionally, proposals shall be scored to the degree it is evidenced that there is qualified staff that can be assigned and deployed to address the recovery tasks described in paragraphs 1.3 (Description of Program(s)) and 1.4 (Scope of Services). The evaluation team will review materials requested in paragraphs 5.3.1, 5.3.2, and 5.3.4 of this RFP.

4.2.2 Technical Approach (**25 points**)

Scored on the respondent's understanding of how to accurately and timely implement, complete and report on CDBG-DR infrastructure projects, while ensuring that the project and respondent remain compliant with Federal, State, and other applicable regulations, including but not limited to the HUD regulations applicable to CDBG-DR grant funds. The evaluation team will review materials requested in paragraphs 5.3.3, 5.3.5, and 5.3.12 of this RFP.

4.2.3 Proposal Rate Structure (**15 points**)

Scored on the degree to which respondent's labor rates for the services to be provided are relevant and inclusive of the activities outlined in the Scope of Services, reasonable in relation to industry standards, and competitive with the labor rates of other respondents. The evaluation team will review materials requested in paragraph 5.3.6 of this RFP.

4.2.4 Information Technology (**15 points**)

Scored on the respondent's solution for how it plans to provide program management update to GOSR public-facing websites, internal GOSR project management software, and the HUD DRGR system. The evaluation team will review materials requested in paragraphs 5.3.1, 5.3.2, 5.3.3, 5.3.4, 5.3.5, and 5.3.6 of this RFP

4.2.5 Knowledge of Sandy Recovery Process in New York (**10 points**)

Scored on the respondent's demonstrated understanding of the State's Superstorm Sandy recovery process, and in particular the State's infrastructure and community recovery process. This will include an evaluation of the respondent's description of how it will engage and utilize the work performed by the NYRCR Program team in rural, urban, and regional settings. The evaluation team will review materials requested in paragraphs 5.3.2, 5.3.3, 5.3.4, 5.3.10, 5.3.11 of this RFP.

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 communities and GOSR staff on projects, demonstrate knowledge of the CDBG-DR process, and discuss its implementation plans in New York State. Based upon the presentation, GOSR/HTFC may alter the scoring of a qualified respondent's proposal under the factors listed in section 4.2. GOSR/HTFC, 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/HTFC reserves the right to select a proposal that, in its sole judgment, is consistent with and responsive to the goals of the Infrastructure and Local Government Program, the NYRCR Program, 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. Non-selected respondents will be notified of GOSR/HTFC's determination via Federal Express or U.S. mail.

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

Respondents to this RFP shall provide information in their proposals that demonstrates the following qualifications:

(a) Respondent has adequate financial resources to perform the contract, or the ability to obtain them.

(b) Respondent is able to comply with the required or proposed delivery or performance schedule, taking into consideration all existing commercial and governmental business commitments.

(c) Respondent has a satisfactory performance record.

(d) Respondent has a satisfactory record of integrity and business ethics

(e) Respondent has the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them.

(f) Respondent is otherwise qualified and eligible to receive an award under applicable laws and regulations.

(g) Respondent has at least 5 years of direct experience implementing and providing project and grant management services in a disaster recovery setting.

(h) Respondent has a thorough understanding of HUD's CDBG-DR program requirements with a proven record of providing project management services on infrastructure and community-based projects.

(i) Respondent has worked with other Federal disaster-related recovery resources and has an understanding of how these resources impact CDBG-DR funds at the

community level, including experience addressing duplication of benefit determinations in prior engagements.

(j) Respondent has in place processes that would allow it to assist both subrecipients and the State in complying with HUD regulations, including but not limited to environmental review, procurement, monitoring, and file maintenance protocols. Furthermore, respondent must demonstrate how specific actions can be monitored to document progress in moving from allocation to project completion.

(k) Respondent's project-level grant consultants to be assigned to communities have direct experience working with CDBG-DR and have worked with communities and units of local government. Respondents should highlight the experience that these consultants have had in implementing infrastructure and community-driven recovery projects using CDBG-DR funds.

(l) 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.

(m) Respondent has coordinated multiple CDBG-DR projects to meet client deadlines.

(n) Respondent has successfully provided CDBG-DR professional services, or similar, to communities with fewer than 515,000 residents in rural or non-urban area. 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.

(o) Respondent has successfully provided CDBG-DR professional services, or similar, to communities with more than 15,000 residents in a rural or non-urban area. 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.

(p) 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.

(q) 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.

(r) Respondent has successfully provided CDBG-DR professional services, or similar, to community-based not-for-profits in an urban or rural context.

Respondent should document the number, type, and total dollar value of projects completed, highlighting projects that were infrastructure and/or economic revitalization focused and briefly describe the type of work that the not-for profit is engaged in if it is not well known.

(s) In addition to having CDBG-DR expertise, respondent has other licensed and/or accredited professionals and disaster recovery professionals who can assist with projects, particularly in the energy, transportation, water and wastewater treatment, and coastal protection sectors.

(t) Respondent has partnered or worked with other firms or units of government to provide expertise in specialized disciplines highlighting knowledge-transfer and capacity-building to clients.

5.3 Proposal Format

The respondent's proposal should be formatted as follows:

5.3.1 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.

Submit a completed Respondent Overview form (Attachment 1) which includes the name, address, telephone, fax, and email of the respondent and the names of all principals and staff that will be providing CDBG-DR grant consultant services, project engineering, program management technical support, and/or professional services.

5.3.2 Experience

Provide the résumés and professional qualifications of the respondent's principals, project managers, CDBG-DR grant consultant key personnel, and staff to be assigned to the contract, including degrees, licenses, and years of relevant experience. This should include résumés and/or curricula vitae that show application skills for web designers, database administrators, and other information technology-related technical support.

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

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

5.3.3 Approach and Methodology

Describe in detail the respondent's approach and methodology to delivering the services outlined in this RFP, including the respondent's information technology solutions.

A finalized list of sub-recipients, 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.

Identified projects for the Infrastructure and Local Government Program will primarily take place in Nassau, Suffolk, Rockland, Westchester Counties. Local government projects are expected to exceed $250,000 in total project cost. Three projects are expected to be highly technical in nature focusing on transportation, energy, water and wastewater sectors with some travel required to Albany and other counties. The level of project management and technical assistance that the NYRCR Program communities may require will vary. More detail on the NYRCR program will be provided during the bidders' conference.

It is expected that potential bidders will want to incorporate not only professional service costs and needs into the proposals but GOSR will also require that travel and office space for the selected contractor(s) will be relatively close to the subrecipient clients. To account for these variations, respondents are required to submit fully burdened, fixed labor rates by labor category for the three geographic categories. If a respondent wishes to not bid on a specific geographic category, it may insert "N/A" for the areas for which the respondent does not wish to bid.

(a) **Rural Communities with Fewer than 15,000 Residents.** Describe respondent's approach and methodology to providing project management and technical assistance to communities with fewer than 15,000 residents that are located in rural environments. These smaller communities are expected to have fewer projects and may have had Sandy, Irene, and Lee damages.

(b) **Rural Communities with More than 15,000 Residents.** Describe respondent's approach and methodology to providing project management and technical assistance to communities with more than 15,000 residents that are located in rural environments. These communities are expected to have multiple projects per subrecipient. They may also have had Sandy, Irene, and Lee damages and are seen geographically as regional centers.

(c) **Metropolitan or Urban Communities.** Describe respondent's approach and methodology to providing project management and technical assistance to subrecipients located in large urban areas. For the purpose of this RFP, respondents should assume this means the work that is primarily to be undertaken

in the New York City metropolitan area, including areas of Suffolk, Nassau, and Westchester Counties. This area is expected to have a combination of government and not-for-profit subrecipients. Subrecipients are expected to have multiple projects. Furthermore, over 80% of the projects that will result from the Infrastructure and Local Government Program will be located in this area. Costs for office space in this area are much higher than in the rural areas, and costs for office space in New York City must be included in proposals, even if a respondent is already located in the area.

5.3.4 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 5.3.3 (Approach and Methodology) for communities comparable in size, scope, and complexity to this effort.

Provide a description of current contracts and obligations for the next eight (8) months to demonstrate capacity.

Detail at least three (3) projects within each category listed in paragraph 5.3.3 from the last five (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.

Use the Firm and Staff References Form (Attachment 2) to provide required references for GOSR/HTFC to contact regarding the respondent's work.

5.3.5 RESERVED

5.3.6 Rate Proposal

This is a fixed labor rate contract type contract. Use the Rate Proposal Form (Attachment 3) to provide the respondent's fully-burdened fixed labor rates for each of type of geographic area described in paragraph 5.3.3.

All bid rates shall remain valid until May 1, 2014.

5.3.7 Standard Clauses for Contracts with GOSR

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 A. 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 A, and any subsequent changes deemed appropriate by GOSR.

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 B.

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 C.

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 D. 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 D, and any subsequent changes made by HUD.

5.3.12 M/WBE Form

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 E.

Table of Attachments and Appendices

Attachment 1 – Respondent Overview Form

Attachment 2 – Firm and Staff References Form

Attachment 3 – Rate Proposal Form

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

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

Appendix C – Offeror Disclosure of Prior Non-Responsibility Determinations

Appendix D – HUD General Provisions

Appendix E – Participation by Minority Group Members and Women Requirements and Procedures for Contracts with Housing Trust Fund Corporation

Attachment 1

RESPONDENT OVERVIEW

Request for Proposals
for
Community Development Block Grant-Disaster Recovery
Project Coordinators

Respondent Organization Name:
Address:
City, State, Zip, County:

Contact Person:
Title:
Telephone:
Fax:
E-mail:

Fed ID #:

Certified M/WBE: _____Yes _____No
(if yes, include copy of New York State Certificate)

NYS Charities Registration No. (if not-for-profit): _____

Legal Status: ___ Corporation ___ Partnership ___ Not-for-Profit ___ Other (Please specify)_____

Include evidence of filing of certificate if conducting business under an assumed name or as partner (i.e. Doing Business As) (General Business Law § 130)

RESPONDENT CERTIFICATION

Respondent certifies that to the best of its knowledge and belief, all information contained in this application is true and correct.

Authorized Signature _____

Print Name _____

Title _____

Attachment 2

FIRM AND STAFF REFERENCES

Firm References

Each Bidder should provide contact information for its client references for each of the projects described in "Firm Experience and Qualifications" of its Technical Proposal.

Note: References should have received similar services as described in this RFP.

Firm Reference # 1				
Name of the Bidder:				
Name of the Client Firm:				
Briefly describe the type and scope of services of the project.				
Project term:	**Start Date: (Month/Year)**		**End Date: (Month/Year)**	
Client Contact **Name and Title:**				
Phone Number:		**Email:**		
Alternate Client Contact Name and Title:				
Phone Number:		**Email:**		

Firm Reference # 2				
Name of the Bidder:				
Name of the Client Firm:				
Briefly describe the type and scope of services of the project.				
Project term:	**Start Date: (Month/Year)**		**End Date: (Month/Year)**	
Client Contact **Name and Title:**				
Phone Number:		**Email:**		

Firm Reference # 3				
Name of the Bidder:				
Name of the Client Firm:				
Briefly describe the type and scope of services of the project.				
Project term:	**Start Date: (Month/Year)**		**End Date: (Month/Year)**	
Client Contact **Name and Title:**				
Phone Number:		**Email:**		
Alternate Client Contact Name and Title:				
Phone Number:		**Email:**		

Staff References

Each Bidder should provide three (3) references for the staff member being proposed for the positions of Engagement Partner, Project Manager, and (1) reference for each grant consultant . References should have received similar services as described in this RFP.

Engagement Partner Reference # 1				
Name of the Bidder:				
Staff Member Name:			**Proposed Title:**	
Name of the Client:				
Client Contact Name:				
Client Contact Title:				
Phone Number:			**Email:**	
Briefly describe the type and scope of services of the project.				
Project term:	**Start Date (Month/Year)**		**End Date (Month/Year)**	

Engagement Partner Reference # 2				
Name of the Bidder:				
Staff Member Name:			**Proposed Title:**	
Name of the Client:				
Client Contact Name:				
Client Contact Title:				
Phone Number:			**Email:**	
Briefly describe the type and scope of services of the project.				
Project term:	**Start Date (Month/Year)**		**End Date (Month/Year)**	

Engagement Partner Reference # 3				
Name of the Bidder:				
Staff Member Name:			**Proposed Title:**	
Name of the Client:				
Client Contact Name:				
Client Contact Title:				
Phone Number:			**Email:**	
Briefly describe the type and scope of services of the project.				
Project term:	**Start Date (Month/Year)**		**End Date (Month/Year)**	

Project Manager Reference # 1				
Name of the Bidder:				
Staff Member Name:			**Proposed Title:**	
Name of the Client:				
Client Contact Name:				
Client Contact Title:				
Phone Number:			**Email:**	
Briefly describe the type and scope of services of the project.				
Project term:	**Start Date (Month/Year)**		**End Date (Month/Year)**	

Project Manager Reference # 2				
Name of the Bidder:				
Staff Member Name:			**Proposed Title:**	
Name of the Client:				
Client Contact Name:				
Client Contact Title:				
Phone Number:			**Email:**	
Briefly describe the type and scope of services of the project.				
Project term:	**Start Date (Month/Year)**		**End Date (Month/Year)**	

Project Manager Reference # 3				
Name of the Bidder:				
Staff Member Name:			**Proposed Title:**	
Name of the Client:				
Client Contact Name:				
Client Contact Title:				
Phone Number:			**Email:**	
Briefly describe the type and scope of services of the project.				
Project term:	**Start Date (Month/Year)**		**End Date (Month/Year)**	

Grant Consultant Reference (template)				
Name of the Bidder:				
Staff Member Name:			**Proposed Title:**	
Name of the Client:				
Client Contact Name:				
Client Contact Title:				
Phone Number:			**Email:**	
Briefly describe the type and scope of services of the project, number of CDBG-DR projects managed, type of project, and total dollars.				
Project term:	**Start Date (Month/Year)**		**End Date (Month/Year)**	

Attachment 3

Rate Proposal Form

Description of Positions and Titles

The following represents the general descriptions for the staffing categories to be utilized in the respondent's proposal and, if awarded, the resulting contract:

Engagement Partner: The Engagement Partner should have five (5) years' experience in business transformation projects, three (3) of those years serving in a leading role in three (3) or more business transformation projects for private or public entities which includes a state, local, or Federal agency, public authority, or public educational institution within the United States. The Engagement Partner would be the responsible entity that would report to Senior GOSR staff on large contractual issues. They would participate in contract negotiations and engage GOSR when significant scope or change of work orders are needed.

Project Manager: The Project Manager, reporting to the Engagement partner will coordinate and delegate the assignments to the contractor' staff, and serve as the point of contact for GOSR staff. The project manager will be responsible for reporting to GOSR on progress and if necessary communicating with sub-recipients on new issues, project status, meetings, and deliverables that the project managers team. The Project Manager must have an understanding and working knowledge of required CDBG-DR regulations, methodologies, tools, and techniques.

Grant Consultant: The Grant Consultant coordinator working under the Project Manager will be responsible for performing more complex grant compliance and analytical work, manage multiple grant projects which are tasked either under one sub-recipient or region, as well coordinate day-to-day activities. The Grant Consultant coordinator will be expected to oversee a functional team. The Grant Consultant should demonstrate experience in one or more of the following areas: Strategic Planning, Organizational Alignment, Change Management, Training, and Project Management.

Associate Grant Consultant : The Associate grant consultant will complete day-to-day project activities under the supervision of the Project Manager and or the Grant Consultant and would be expected to manage individual CDBR-DR projects.

Analyst: The Analyst will assist in the completion of day-to-day project activities under the supervision of the either the Grant Consultant, Senior Analyst or Associate Grant Consultant.

Fixed Labor Rates

Contract Title	Hourly Rates		
	Rural Communities with Fewer than 50,000 Residents	Rural Communities with More than 50,000 Residents	Metropolitan or Urban Communities
Engagement Partner			
Project Manager			
Grant Consultant			
Associate Grant Consultant			
Analyst			
Other: _____			
Other: _____			
Other: _____			

NOTE 1: All labor rates shall be fully burdened rates, inclusive of all general, administrative, indirect costs and profit.

Note 2: Add as many rows as needed for relevant and related labor categories. For any additional labor categories, offerer must provide a description of such, inclusive of the minimum education and experience qualifications.