



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

Community Development Block Grant-Disaster Recovery
Disaster Recovery Housing
Program Management and Related Services

Friday, April 4, 2014

Responses must be received by
5:00 p.m. (Eastern), Friday, May 2, 2014

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1.0 GENERAL INFORMATION

1.1 Purpose

The Governor's Office of Storm Recovery ("GOSR") of the Housing Trust Fund Corporation ("HTFC") is seeking one or more entities—either a private company or a not for profit organization—to help property owners impacted by Hurricane Sandy, Hurricane Irene, or Tropical Storm Lee access assistance to sell their homes.. This program is funded by the 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) through a process that is efficient, equitable and transparent. Assistance will be provided based on the Housing Assistance Programs outlined in the New York State Action Plan for CDBG-DR, which can be viewed <http://stormrecovery.ny.gov/action-plans-and-amendments>.

The selected firm will hire, train and supervise case workers whose primary responsibility will be to process and track applications for the NY Rising Home Buyout Program Housing Assistance Programs outlined in Section C of this RFP. These case workers will serve as the front line staff of this program, and provide long-term consistent delivery of services to impacted homeowners. Among other tasks, case managers will verify applicant eligibility for housing assistance, determine the amount of assistance, coordinate with related parties to carry out approved recovery work, and administer the funding made available to the benefit of property owners. Respondents to this RFP (Respondents) must commit to serve all eligible areas of the state. Respondents proposing to serve individual cities, towns, villages, or counties will not be considered. New York State is already accepting applications for CDBG-DR assistance and has begun processing applicants through the initial stages of case management. The selected firm should be prepared to have all Recovery Offices fully staffed by June 1, 2014.

Respondents to this RFP should thoroughly review the following documents available at <http://www.stormrecovery.ny.gov/procurement-opportunities>:

- New York State Action Plan for Community Development Block Grant Program Disaster Recovery;
- NY Rising Smart Home Programs Homeowners Procedure Manual; and
- NY Rising Smart Home Programs Homeowner Policy Manual.

Respondents should also review the Process Flow and Ecosystem Flow charts and role descriptions attached to this RFP.

1.2 Background

In late October 2012, the largest storm in New York State's recorded history swept ashore. Hurricane Sandy's effect was devastating, causing widespread damage to lives, homes, businesses, core infrastructure, government property and an economy just recovering from the

financial crisis. Fourteen counties were declared as 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 systems.

1.3 Description of Program(s)

The services to be procured through this RFP will support the implementation and administration of the following programs, which GOSR is providing pursuant to the Action Plan:

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 who have sustained damage to their primary residence and are otherwise unable or unwilling to repair their home, the ability to relocate to a safer, less flood-prone area. 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.

- The State will use the 2013 FHA loan limits as the ceiling for the purchase price for properties that participate in this program.

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.

Incentives

- **5% Relocation Incentive:** The State will provide this incentive to residents who participate in a buyout inside an Enhanced Buyout Area if they permanently relocate and provide evidence of the purchase of a new primary residence within the same county in which their storm-damaged property is located; residents of New York City will be eligible for this incentive if they permanently relocate and purchase a new primary residence anywhere within the five boroughs of the City. The rationale for such an incentive is to protect and preserve the community while, at the same time, facilitating the reclamation of land in high risk areas for natural protection against future damage.
- **10% Enhanced Buyout Incentive:** In an effort to relocate homeowners out of the high-risk enhanced buyout areas—to protect as many as possible from future disasters—the State will seek the maximum level of homeowner participation by offering this individual incentive so that as much land as possible within these areas can be returned to and reclaimed by nature, land that will be maintained in perpetuity as coastal buffer zones. This level of incentive was selected in order to ensure that a sufficient incentive is available, as the number of properties involved will need to be significant in these areas to produce the intended outcome.
- **10% Group Buyout Incentive:** In the rare areas in which the purchase of a group of properties together makes sense in order to re-purpose that area, the State believes that graduated incentives are an essential component to induce homeowners to sell their properties. Outside of the enhanced buyout areas, the State may, in rare circumstances, provide a 10% Group Buyout Incentive to certain very limited clusters of homeowners (e.g., 2-10 consecutively located properties) whose properties are located inside the floodplain but not inside an identified enhanced buyout area. This incentive may be necessary in certain rare cases to facilitate the reclamation of a concentrated area of high risk and to avoid the patchwork effect of purchasing all but one or two properties inside such a cluster of properties.
- Assistance shall be for property purchased after accounting for all Federal, State, local and/or private sources of disaster-related assistance, including, but not limited to, homeowners and/or flood insurance proceeds.

- All customary costs associated with the acquisition of private property, including appraisal, legal, survey, title preparation and insurance, may be paid for using this source of funds.
- Demolition costs may also be paid using this source of funds.
- Site work and property maintenance costs, including environmental remediation, grading and security, may also be paid for using this source of funds.
- Households earning less than 80% of the area median income will be prioritized in the order of processing applications for assistance.

1.4 Scope of Services and Key Deliverables

Goal

Assist eligible individuals and households in accessing the State's CDBG-DR Housing Assistance Programs as quickly as possible through a process that is efficient, equitable, and transparent. Ensure that the maximum amount of disaster-related assistance is provided to the maximum number of eligible individuals and households. Facilitate a comprehensive and thorough recovery from these storms.

Objectives

- Provide uniform and equitable delivery of services to any and all eligible applicants for assistance.
- Provide sufficient staffing and resources to Recovery Offices to respond promptly to inquiries and process applications for assistance in a timely manner.
- Educate individuals and households on the requirements and process for receiving CDBG-DR assistance.
- Ensure individuals and households who may receive CDBG-DR funding are eligible and meet all applicable federal and state requirements, while respecting and ensuring applicant rights to privacy and confidentiality.
- Ensure that buyouts and acquisitions of properties occur in a timely manner.
- Provide referrals and guidance for those households not eligible for assistance, or in need of housing, legal and other related services as necessary.
- Detect and/or Prevent fraud, waste, and abuse.
- Ensure continual quality assurance/quality control.
- Assume control and responsibility of current programming and procedures.

Project Phases

Project phases required to complete these objectives include but are not limited to the following.

A. Start- up of Operations

The selected firm must secure the necessary personnel and office supplies to staff and operate at least 4 Recovery Offices. These offices must be equipped to assist homeowners with applications and all program-related case management appointments. *(Note: facility, computers, office furniture and telecommunications equipment, and other equipment as necessary for the core functions of the Offices, will be supplied by HTFC)*

Tasks required:

- Provide a uniform and consistent personnel manual, codes of conduct, and conflict of interest, privacy and ethics policies for all employees.
- Hire or provide staff necessary to operate at least 4 Recovery Offices.
- Follow existing uniform and consistent training procedures for all staff.
- Follow existing methodologies for scheduling in-take appointments, assigning case workers to property owners and establishing waiting lists, including having adequate plans to deal with appointments that run late and end early, re-scheduling appointments, and handling unscheduled walk-ins.
- Assist in development of Intelligrants Buyout electronic portal and maintain paper tracking and filing system for applications and related materials.
- Develop a methodology and timelines for importing existing paper file documentation into Intelligrants.
- Follow existing procedures necessary to ensure privacy and confidentiality of all employee and client personal information.
- Provide a plan for Section 3 compliance, Equal Employment Opportunity and Minority and Women Owned Business Enterprise (M/WBE) utilization.
- Develop any requested training materials to educate property owners on how to avoid fraud, and report any observance of fraudulent or illegal behavior by contractors, applicants or other parties.
- Appropriate finance management staff to track all fiscal transactions
- Provide daily and/or weekly progress reports, and other reports as requested, to GOSR.

Deliverables

- **All Recovery Offices shall be fully staffed, operating, and reviewing applications by June 1, 2014.**
- Personnel manual, codes of conduct, conflict of interest, privacy, and ethics policies
- Program Staff training materials and schedule
- Methodology ensuring efficient staff capacity management
- Procedures for filing and storing applications and related materials
- 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
- Weekly reports to GOSR, including status and outcome of any appeals.
- Compliance and cooperation with monitoring requirements from HUD, IG, GAO, Single Audit, etc.
- Periodic reports on survey data on customer satisfaction (initially at least bi-weekly; as program progresses, frequency can reduce).
- Signed checklist confirming key topics discussed at initial applicant meeting.
- Complete applications including all required supporting documentation, and certification from applicant.
- Reports certifying eligibility/ineligibility for each complete application.
- Verification of Benefits, with Source and Use Analysis for each approved applicant.

- A signed award agreement stating the grant amount received by the applicant, and the agency providing home rehabilitation or reconstruction. Notice to proceed.
- Loan and Closing documents
- Filing of all required papers with Clerks

Tasks

A. Intake and application preparation

- Educate and guide the applicant through the requirements and timing for acquisition or buy-out; assist the applicant in evaluating their options.
- Perform initial application screening and processing, including completeness review and threshold eligibility review; determine if applicant fits any of the application priorities.
- Collect required documentation for the applicable program(s), including but not limited to income documentation, proof of ownership, pre-disaster housing conditions and values, status of the applicant's property taxes, mortgage and insurance, etc.; issue correspondence requesting missing documentation.
- Work in coordination with the AFWA Team to maintain records and communications in a manner that detects or prevents Fraud
- Document communications with property owners regarding the status of their application and subsequent related processes, requests for additional information, and/or challenges that may arise in conjunction with the application and acquisition process.
- Follow due diligence process to provide an opportunity for applicants to supply missing application information and supporting documentation.

B. Verification of eligibility for benefits

- Evaluate documentation submitted to determine property owner eligibility for CDBG funds based on all Program and federal requirements.
- Review receipts provided for previous work, and calculate the preliminary amount of funding the property owner is eligible to receive.
- Advise applicants who are ineligible of their status and inform them of the process for appeal.

C. Benefit review and award finalization

- Complete Duplication of Benefits review; where owner investment, insurance, FEMA or other funds are available, prepare a source and use analysis and insure proper layering of funds; establish an escrow account for leveraged funds.
- Collect receipts for previously completed work to determine reimbursement for materials and appropriate labor charges.
- Based on the sources and uses analysis and contractor estimates provided by the construction supervisor, prepare a funding award agreement and notice to proceed, and obtain required signatures on forms including, but not limited to the grant agreement, construction agreement and covenant of federal requirements running with the property.
- Submit environmental review and SHPO documentation provided by construction manager to GOSR.

D. Payment processing, closing and file closeout

- Schedule loan closing meeting; obtain a title search and title insurance; assemble and file the property lien utilizing documents provided and/or approved by GOSR.
- Assist with relocation of occupants during construction, when required. Implement procedures for recapture of funds in the event of default.

E. Payment processing, closing and file closeout

- Confirm completion of assistance; issue interim and final payments to contractors/vendors with appropriate approvals; file and store documents; update Program's system of record.
- Schedule loan closing meeting; obtain a title search and title insurance; assemble and file the property lien utilizing documents provided and/or approved by OCR.
- Assist with relocation of occupants during construction, when required.
- Implement procedures for recapture of funds in the event of default.

F. Site Visits and Property Management Coordination

- Do inspections as necessary to evaluate property conditions that may impact the timing of the acquisitions and/or to collect the appropriate documentation and process as required by GOSR.
- Coordinate with property management to ensure site security and maintenance functions are carried out.

1.5 Number of Awards

The respondent recognizes that, at the sole discretion of HTFC and based upon the breadth and experience of respondents to this RFP, HTFC may decide to award contracts to more than one respondent. HTFC 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 HTFC's right, in its sole discretion, to cancel this RFP.

2.0 ADMINISTRATION INFORMATION

2.1 RFP Coordinator

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

Or

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 Governor's Office of Storm Recovery "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 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
April 4, 2014	Release of RFP
April 21, 2014	Anticipated Respondents' Conference
April 24, 2014	Last Day to Submit Questions – 5:00 p.m. (Eastern)
April 28, 2014	Issuance of Answers to Questions
May 2, 2014	Proposal Submission Deadline – 5:00 p.m. (Eastern)
May 12, 2014	Finalist Interviews (if elected by GOSR)
May 16, 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>.

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**

2.5 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 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 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 be delivered by email in two parts no later than: **3:00 pm (EDT) on April 16, 2014**. Part one is to include the Price Proposal. The email subject shall indicate **RE: Bid Proposal for Project Manager – Cost 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 Project Manager – Technical Proposal and Attachments**.

Any proposal delivered after 3:00 pm (EDT) 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 HTFC.

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/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 30-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 HTFC. 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/HTFC 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 HTFC, 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 offerers" 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 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 HTFC'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 HTFC, no respondent will be allowed to alter its proposal or add information.

4.2 Selection Criteria

Complete proposals will be preliminarily scored based upon the criteria listed below.

4.2.1 Experience and Capacity (40 points)

Respondents with demonstrated experience and success in implementing disaster-related home repair and buy-out programs in New York State or elsewhere will be scored higher than those with other disaster related experience, or who only have experience in administering other federally-funded housing repair programs and/or case management services. 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, which is based on a well-defined timeline for delivery of key goals and objectives, and which 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.

4.2.3 Budget (20 points)

Proposals will be scored based on the budget format provided, as well as on the information provided in the requested in the budget narrative. 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 identify a clear plan for cost savings measures and/or efficiencies, will receive the most points.

4.2.4 Innovative Practices (10 points)

Proposals that identify and articulate innovative methods for enhancing and expediting the delivery of program services will receive more points. Proposals that specifically speak to identifying and expediting the processing of priority applicants, such as low- and moderate-income households, persons with disabilities, elderly persons, DHAP recipients, households with limited English proficiency, and those with substantial housing damage will receive the most points. Points will also be awarded for proposals that provide creative recommendations for streamlining and expediting the application process, and for reducing waste, fraud, and abuse.

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, demonstrates 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, HTFC reserves the right to select a proposal that, in its sole judgment, is consistent with and responsive to the goals of the state's CDBG-DR Action Plan, irrespective of whether it is the apparent lowest-priced proposal, if it is determined by GOSR 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:

- 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 submission.
- 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.
- Respondents must demonstrate they have capacity and prior experience 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)
 - HUD national objective requirements and income eligibility requirements, including familiarity with using uncapped income limits
 - FEMA, SBA, and private insurance rules and practices related to disaster claims
 - Verification/Duplication of Benefits Review
 - Federal and state rules regarding lead paint and other environmental health hazards (*e.g.*, mold, asbestos, radon)
 - Project oversight and monitoring
 - Housing program and contract administration
 - Database and records management
 - Reporting and metrics
 - Cost estimating
 - Customer service
 - Outreach and marketing
 - Negotiation and mediation
 - Case Management for disaster Recovery

- State level administration in buyout and/or acquisition programs for the purchase of residential real estate
- Ability to provide services in multiple languages as necessary

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. 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.

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 which is first page 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 CDBG-DR grant consultant services, project engineering, program management technical support, and/or professional services.

5.3.2 Experience

Provide an organizational 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 organizational structure.

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.

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

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 three (3) years.

If the respondent is partnering or subcontracting with any other entity, provide the information described above for each such entity.

If submitting a proposal identifying multiple firms, one firm must be identified as the respondent. The respondent will be the contracted entity responsible for ongoing program management and overall responsibility for the delivery of the tasks. The respondent identified is responsible for managing the entire team, including all subcontractors and partners. The respondent should describe any support and management positions they propose in addition to those listed in Appendix A, including an organizational chart outlining management structure, and identify who will oversee the construction manager relationship.

Proposals must demonstrate knowledge of local communities and community specific needs.

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. Proposals must demonstrate that the respondent has each of the necessary minimum qualifications listed in this RFP in Section 5.2, and is able to carry out each of the specific Tasks and Deliverables identified in Section 1.4. If the 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 subcontractors. Respondents are required to provide a reference for any disaster-related experience they list in this section. Each reference should include the name, title, company, address, phone number and email address of the reference, and a brief summary of the relationship between the reference and the respondent.

5.3.3 Capacity to Perform Services

Attach the résumés and professional qualifications of the respondent's principals, project managers, key personnel, and staff to be assigned to work in the Recovery Offices, including degrees, licenses and years of relevant experience.

Specifically identify people currently employed by the respondent who will serve in key roles listed in the attached role descriptions.

In addition, for the master program management functions listed in Section 1.4, for which specific role descriptions have not been included in the attachment, the respondent should submit a list, describe, and discuss the need for specific roles to perform each of these functions and provide an organizational chart that shows how and by whom these master program management functions will be performed. For each role proposed, the respondent should also submit a price rate (daily, weekly, or hourly) and specify the experience and skill levels required.

In addition, identify any sub-consultants and subcontractors that the respondent intends to engage.

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

5.3.4 Approach and Methodology

Explain how the respondent will achieve the goals, objectives, tasks, and deliverables outlined in Section 1.4. Related services (e.g. community outreach, construction management) will be performed by GOSR and other partners; however, proposals should address a respondent's anticipated approach and capability to coordinate with other providers. In addition, address the following:

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. Assume Responsibility for All Buyout Program Operations

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. 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 HTFC prior to the execution of the contract under this RFP. Clearly detail and describe the respondent's approach to the other deliverables listed in Section 1.4 for the assumption of responsibility for all buyout program 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, including Section 3, federal and state labor standards, and M/WBE compliance. Provide detail on the respondent's anticipated monitoring plan.

D. Case Management

Explain how the respondent will implement the policies and procedures for the Housing Assistance Programs, as summarized in this RFP and detailed in the Recreate NY Smart Home Program Policy and Procedures manuals available at www.nyshcr.org. Provide any relevant recommendations to improve the process flow to increase processing speed and efficiency, and to avoid cost overruns, waste, fraud, and abuse. Describe how the respondent will specifically identify and meet the needs of priority applicants, such as low and moderate-income households, persons with disabilities, elderly persons, DHAP (rental assistance) recipients, households with limited English proficiency, and those with substantial housing damage. Respondent should also demonstrate how it proposes to work with HTFC on any necessary modification of policies and procedures, identified during the course of program implementation and administration, and the process by which said policy and procedure changes will be identified and drafted by the respondent, approved by HTFC, and disseminated by the respondent to program staff and interested parties.

E. Additional Optional Related Services

Identify additional optional buyout related services that respondent is willing to provide.

5.3.5 Budget

Please provide a budget using the format below. The selected firm must expect to serve all eligible areas of New York State outside of the five boroughs of New York City and within the five boroughs where eligible and applicable. Your budget should provide a **cost** for Start-up and Operations, and an **incremental, maximum cost** for Program Level Functions and Quality Control and for Case Management **per 2,000 applications received**.

Your budget should take into account all costs necessary to perform the required tasks, including staffing, management, materials, etc. The selected firm will commit to the same maximum price for the next 2,000 applications and so on until the end of the two-year contract, when it will charge a prorated amount for the last draw. It is anticipated that the actual cost for Program Level Functions and for Case Management will fluctuate based on, among other factors, the ratio of applications approved for assistance. But your cost should not exceed the maximum cost listed in your Proposal.

Budget Breakdown

Task	List of Tasks	Estimated number of hours necessary for EACH item under this this task	Estimated Total Task Cost (Including non-hourly costs)
One time start-up operation cost	(Describe startup costs and the staging of program operations.)		
Program Management	Provide overall management and support of the program. (Describe specific tasks)		
Intake and Application Preparation	-Educate and guide the applicant through the program, requirements, and timing -Perform initial application and screening processes -Collect all required documentation -Maintain records and communications in coordination with AFWA and the property owners		
Verification of Eligibility for Benefits	-Evaluate documentation submitted to determine eligibility for CDBG funds -Review all receipts provided by homeowner -calculate preliminary amount of funding property owner is eligible to receive -Advise applicants who are ineligible of their status and inform them of the process for appeal		
Benefit Review and Award Finalization	-Complete duplication of benefits review -Collect receipts for previous work to determine eligible amount for reimbursement -Prepare a funding award agreement and notice to proceed, and obtain required signatures on forms -Submit environmental review and SHPO documentation provided by construction		

	manager to GOSR		
Payment Processing , Closing and File Closeout	-Schedule loan closing meeting -Obtain title search and title insurance -Assemble and file the property lien utilizing documents provided by GOSR -Assist with relocation of occupants, when required -Implement procedures for recapture of funds in the event of default		
Site Visits and Property Management Coordination	-Collect the appropriate documentation and process as required by GOSR -Coordinate with property management entity to ensure site security and maintenance functions are carried out		
		Total Required Services	
Additional Optional Services	Provide a description and pricing for optional additional services related to Buyout transactions		
		Grand Total	

Budget Narrative

The Respondent should provide a summary of how the above prices were calculated. Further, provide a list of salaries, benefits, and other compensation for each position listed in the attached role descriptions and for other proposed positions, as well as the anticipated number of people to be hired for each role. Identify any other costs, including but not limited to management and overhead, supplies, technology, etc. that contribute to the total maximum estimated price. Identify how the respondent proposes to reduce costs to the Program as a result of meeting key milestones and/or natural break points in the processing of the projected application pool, as based on overall performance and volume of activity. Other cost-saving measures and/or efficiencies should be clearly identified in the proposed budget. Finally, provide the payment schedule for any third-party vendors and/or partners the respondent will retain to complete the scope of services.

5.3.6 M/WBE Form

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 Project Coordinator 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 Project Coordinator 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 HTFC's Director of its Office of Fair Housing and Equal Opportunity via email at WGraham@nyshcr.org.

Include the following in the respondent's proposal:

- 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.
- 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.
- 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.
- 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.
- 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.

5.3.7 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.

5.3.8 Offeror Disclosure of Prior Non-Responsibility Determinations Form

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

5.3.9 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.

5.3.10 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.

5.3.11 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.

Attachments and Appendices

Attachment 1 – Flow Charts

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 – Section 1 - Diversity Forms

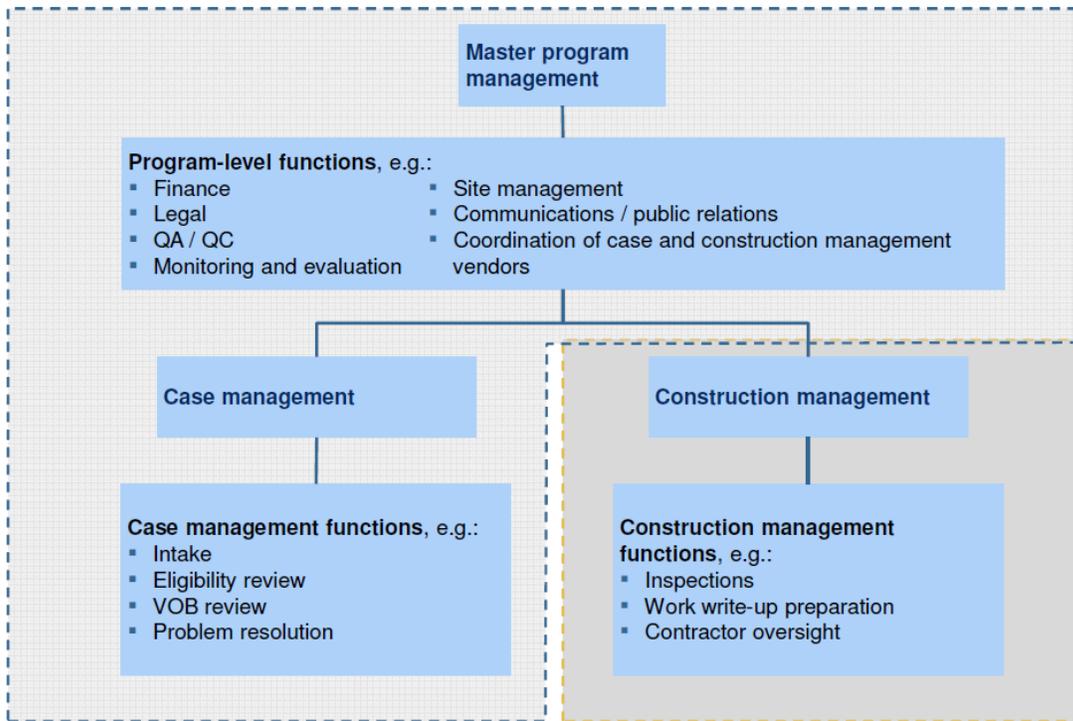
Appendix III – Section 2 – HUD

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

ATTACHMENT 1: FLOW CHARTS

Housing program delivery ecosystem

- ▣ Services covered under this RFP
- ▣ Services to be procured separately



Each applicant will flow through an end-to-end process with 5 phases

High-level summary of end-to-end process

