



GOVERNOR'S OFFICE OF STORM RECOVERY

Andrew M. Cuomo
Governor

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Executive Director



HOUSING TRUST FUND CORPORATION

Request for Qualifications

for

Professional Services

for

Community Development Block Grant-Disaster Recovery (CDBG-DR)
Advisory and Project Management Support

RFQ #201411_27

December 3, 2014

Responses must be received by
3:00 p.m. (Eastern), **December 29, 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") seeks to procure advisory, consulting, and project management support services from firms or individuals with in-depth knowledge of federally funded disaster recovery programs. This includes funds provided by the U.S. Department of Housing and Urban Development ("HUD") Community Development Block Grant-Disaster Recovery ("CDBG-DR") program appropriated by the Disaster Relief Appropriations Act, 2013 (Pub. L. 113-2) as well as other potential federally funded disaster recovery sources. This Request for Qualifications ("RFQ") is issued in accordance with the Procurement and Contract Guidelines of HTFC and in compliance with [Section 2879a of the New York Public Authorities Law](#). Consistent with its procurement policy and CFR 85.36(e) and Article 15-A, GOSR affirmatively encourages participation of small businesses in this RFQ.

The purpose of this RFQ is to obtain proposals from individuals and firms, and to award contract(s) for a three year period to provide expert policy and regulatory consulting; information, research and financial analysis; project management support; data and information systems support; and other services across a broad range of CDBG-DR funded projects and programs managed and contributed to by GOSR. These projects and programs are identified in New York State's approved CDBG-DR Action Plan. These programs are aimed at the long-term recovery of communities impacted by Superstorm Sandy, Hurricane Irene, and Tropical Storm Lee. GOSR's programs will assist residents in up to 34 counties in New York State, support economic development in these counties, and contribute to essential investments in community infrastructure and resources. These activities are described further below.

Respondents to this RFQ should thoroughly review the New York State Action Plan for Community Development Block Grant Disaster Recovery and all amendments thereto, as well as all Federal Register notices related to the CDBG-DR funds.

1.2 Diversity and Income Requirements

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

HTFC is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 ("M/WBE Regulations") for all New York State funded HTFC contracts as defined therein, with a value in excess of \$25,000. HTFC strongly encourages

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

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

A “Section 3 resident” is: 1) a public housing resident; or 2) a low- or very low- income person residing in the metropolitan area or non-metropolitan county where the Section 3 covered assistance is expended. A “Section 3 business concern” is a business that can provide evidence that they meet one of the follow criteria: 1) 51 % or more owned by Section 3 residents; or 2) at least 30% of its full time employees include persons that are currently Section 3 residents, or were Section 3 residents within three years of the date of first hire; or 3) provides evidence, as required, of a commitment to subcontract in excess of 25% of the dollar award of all subcontracts to business concerns that meet one of the preceding two qualifications.

1.3 RFQ Timeline

Target Date	Event
December 3, 2014	Release of RFQ
December 12, 2014	Anticipated Pre-Proposal Conference
December 16, 2014	Last Day to Submit Questions – 3:00 p.m. (Eastern)
December 23, 2014	Issuance of Answers to Questions
December 29, 2014	Proposal Submission Deadline – 3:00 p.m. (Eastern)
January 5-9, 2015	Finalist Interviews (if applicable)
January 30, 2015	Target Date for Selection

Please note that the RFQ 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 RFQ timeline and other important information, which may alter the terms or requirements of this RFQ.

1.4 Background

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

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

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

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 GOSR, 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 to administer CDBG-DR 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 in covering 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 critical infrastructure, as well as the implementation of community-driven plans that will 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>

1.5 Description of Program(s)

The advisory, consulting and project management services to be procured through this RFQ will support GOSR with the implementation and administration of a broad range of programs for which CDBG-DR (and potentially other federal disaster recovery funds) will be used. This includes, but is not limited to, housing grant and loan programs, business grant and loan programs, and a variety of community reconstruction and infrastructure development projects performed by municipalities, agencies, and other organizations that will help administer funds.

1.6 Scope of Services

Individuals or firms may submit responses to one or all of the tasks identified in the Scope of Services. GOSR may award more than one contract for each of the tasks depending on the best responses for a particular service item.

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

Task 1 – Expert Policy and Regulatory Consulting Services

- Provide as needed, on-call expert advisory services and analysis regarding the applicability of federal regulations for funded activities
- Identify and advise GOSR on any potential program and project compliance risks and issues, and develop mitigation strategies
- Work with GOSR to prepare written reports and analysis and contribute to the preparation of a broad range of policy documents, action plans, and other materials regarding the assessment and implementation of programs and projects
- Provide strategy support to help GOSR achieve national objectives and meet eligibility requirements

Task 2 – Information, Research, and Financial Analysis

- Conduct specific research and analyses on federally funded projects and programs, including financial and operational analyses
- Perform analysis and prepare studies to assist GOSR in assessing the impact of its projects and programs
- Assist GOSR in conducting budget and cost analysis for projects and programs as well as cost containment strategies and recommendations

Task 3 – Project Management Support

- Support GOSR in its oversight and coordination of program and construction management, including serving as GOSR’s “owner’s representative” across a variety of projects and programs to ensure that they are implemented efficiently, cost-effectively, and in compliance with all governing regulations
- Support GOSR staff in setting priorities, identifying internal and external resources, creating decision-frameworks and analyses that enable GOSR to make sound policy-based, financial and operational decisions
- Directly develop (and/or work with various internal and external stakeholders and vendors to prepare) project and program work plans, schedules, deliverables and budgets
- Work with GOSR to implement plans for projects and programs, including coordinating a variety of internal and external stakeholders, including other agencies and vendors
- Provide operational and logistical support as needed to implement projects and programs

Task 4 – Data and Information Systems Support

- Support the planning, design, development, and implementation of information technology, record keeping, and data tools and solutions to manage, track, and report on the progress and delivery of a variety of programs and projects. This includes identifying, coordinating, and contracting with partner firms that can evaluate and assess GOSR’s existing data management systems and reporting tools
- Develop an integrated, resource loaded program wide schedule which captures key milestones across the various programs
- Propose improvements to existing data management tools and systems; and develop and implement processes to cost-effectively improve information and record keeping systems, as well as other reporting and data management tools and systems

Task 5 – Other Support Services as Needed

- Serve as GOSR liaison and support coordination of a variety of stakeholders across GOSR funded projects and programs
- Provide technical assistance and training of staff on compliance, contract management, and other programs

GOSR, at its sole discretion, will engage the selected respondent(s) for expert advisory, consulting and project management services on a project-by-project basis. GOSR will work with the selected respondent(s) to develop specific scopes of work, which will include specific activities, deliverables, and timeframes related to GOSR programming. The contracted respondent(s) will receive payment based on successfully completing deliverables within the timeframes articulated in the statement of work.

1.7 Key Deliverables

Respondents should outline the types of deliverables and timelines they produce in performing the services to be procured through this RFQ. At a minimum, the key deliverables to be provided include such items as:

- (a) Comprehensive reports on actions taken and advice given
- (b) Work papers and analyses that provide information on the process used to develop reports
- (c) White papers on process limitations in existing programs or efficiencies to be gained (if any) after review
- (d) Discussion of any potential HUD concerns or findings the respondent discovers in the process, as well as a corrective plan of action
- (e) Analysis and recommendations with regard to vendor management
- (f) Quarterly reports on activities
- (g) Timeline of how the respondent will provide reviews at appropriate periods to minimize risk to the State
- (h) Project work plans, timeframes, and budget tools
- (i) Proposed system(s) and template(s) used to capture and report information

1.8 Number of Awards

The respondent recognizes that, at the sole discretion of GOSR and based upon the breadth and experience of respondents to this RFQ, GOSR may decide to award one or more contracts for each of the tasks/service categories described within this RFQ. As GOSR determines specific activities requiring expert advisory, consulting, and project management support services, GOSR anticipates including additional scopes of work to awarded contracts through a mini-bid selection process.

Nothing in this paragraph 1.8 shall be construed in derogation of GOSR's right, in its sole discretion, to cancel this RFQ.

2.0 ADMINISTRATION INFORMATION

2.1 RFQ Coordinator

Contact information for the RFQ Coordinator is as follows:

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

2.2 Pre-Proposal Conference and Questions

A pre-proposal conference will be scheduled to discuss this RFQ, 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>

GOSR strongly encourages interested firms to check the Procurement Opportunities webpage frequently for updates and additional information pertaining to this RFQ.

Respondents may also submit questions outside of the conference by e-mail to GOSRProcurement@stormrecovery.ny.gov. All questions must reference this specific RFQ in the subject line of the email. For example, the subject line for questions related to this RFQ should read **RE: RFQ Question – Disaster Recovery Advisory and Project Management Support Services**. Answers to all substantive questions, including any substantive questions arising from the pre-proposal conference, will be posted on the GOSR "Procurement Opportunities" webpage listed above as soon as practical following the deadline for question submission. All questions and correspondence must be sent to:

GOSRProcurement@stormrecovery.ny.gov

Any correspondence or questions sent to any other email address regarding this RFQ will not be answered.

2.3 Procurement Lobbying Provisions

Pursuant to State Finance Law §§ 139-j and 139-k, this RFQ includes and imposes certain restrictions on communications between GOSR and respondents during the solicitation process. A respondent is restricted from making contacts from the earliest notice of intent to solicit offers through final award and approval of the contract (the restricted period) with GOSR staff other than the RFQ Coordinator, unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a).

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

For all lobbying law contacts and inquiries, please contact:

Natalie Dennery
Lobbying Contact Officer
Governor's Office of Storm Recovery
GOSRProcurement@stormrecovery.ny.gov

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

2.4 Conflicts of Interest

Any contract awarded under this RFQ 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 RFQ with 30 days' notice in the event that the actual conflict of interest, or the appearance of such conflict, is not cured to GOSR's satisfaction.

3.0 PROPOSAL INFORMATION

3.1 Proposal Instructions

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

Proposals must be delivered by email in two parts no later than: **3:00 pm (EDT) on the date indicated in the table of section 1.3**. Part one is to include the Price Proposal. The email subject shall indicate **RE: Bid Proposal for RFQ for Disaster Recovery Advisory and Project Management Support Services – Price Proposal**. Part two is to include the Technical Proposal along with all attachments and completed forms. The email subject shall indicate **RE: Bid Proposal for RFQ for Disaster Recovery Advisory and Project Management Support Services – Technical Proposal and Attachments**.

Any proposal delivered after **3:00 pm (EDT)** on the specified submission date will not be accepted. Delivery delays shall not excuse late bid submissions. The respondent is responsible to ensure that emails and attachments are delivered on time in a legible format. Complete proposals, including all multiple parts, must be received by the deadline in order for a proposal to be considered submitted on time. Those submitting a proposal assume all risks associated with delivery. The determination of whether any proposal was received on time is at the sole discretion of GOSR.

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

Proposals shall be submitted by email to:

Shin Kim
Director, Procurement
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 RFQ. All subcontractors must be approved by GOSR. All bid prices shall remain valid until June 30, 2015.

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

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

GOSR will consider responses to this RFQ in a consistent and easily comparable format. Proposals not organized in the manner set forth in this RFQ may be considered, at the sole discretion of GOSR, as unresponsive. Do not refer to other parts of your proposal, to information that may be publicly available elsewhere, or to the respondent's website or another website in lieu of answering a specific question.

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

3.2 Rejection of Proposals; Cancellation of RFQ

Issuance of this RFQ 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 RFQ or another version of it, if it deems that doing so is in the best interest of the impacted communities or the State of New York.

3.3 Waiver of Informalities

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

3.4 Withdrawal of Proposal

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

3.5 Ownership of Proposal

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

3.6 Proprietary Information

Only information considered trade secrets or non-published financial data may be classified as proprietary or confidential. Such information within the proposal must be clearly marked. Proposals containing substantial contents marked as confidential or proprietary may be rejected by GOSR. Provision of any information marked as confidential or proprietary shall not prevent GOSR from disclosing such information if required by law. The ultimately awarded contract(s) and all prices set forth therein shall not be considered confidential or proprietary and such information may be made publicly available.

3.7 Cost of Preparing Proposals

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

3.8 Errors and Omissions in Proposal

GOSR reserves the right to reject a proposal that contains an error or omission. GOSR also reserves the right to request correction of any errors or omissions and/or to request any clarification or additional information from any respondent, without opening up clarifications for all respondents.

3.9 Award and Execution of Contract

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

3.10 RFQ and Proposal as Part of Contract

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

4.0 EVALUATION AND SELECTION

4.1 Evaluation Methodology

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

opinion of the GOSR, may be rejected. All proposals meeting the proposal submission requirements will be evaluated.

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

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

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

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

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

4.2 Selection Criteria

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

4.2.1 Experience and Capacity (40 points)

Respondents must demonstrate experience and success in implementing federal disaster recovery programs and/or providing advisory, consulting, and project management support services for federal disaster recovery programs. Particular consideration will be given to respondents who have knowledge and expertise in CDBG-DR and knowledge and expertise in housing and the construction industry. **Particular experience with Hurricane Sandy funded programs will be factored into experience. Respondents must have experience related to federally funded disaster recovery programs and projects valued at \$100 (one-hundred) million or greater.** As previously stated, GOSR encourages the participation of individuals and small firms with this experience. Respondents that demonstrate they have the staff available 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 (20 points)

Respondents that outline a clear and straightforward approach to staffing and working GOSR to provide expert advisory, consulting and project management support services will score higher than those that do not. Respondents should identify key goals and objectives, and methods for achieving high standards for the delivery of services, in expectation of meeting or exceeding these goals. Respondent can submit a scope of work for one or all aspects of the Scope of Services identified in 1.6.

4.2.3 Price Proposal (20 points)

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

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

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

4.3 Finalist Interview

GOSR reserves the right, at its sole discretion, to invite qualified respondents to a finalist interview. If GOSR elects to conduct finalist interviews, each qualified respondent will be required to give a strictly timed 20-minute presentation. This presentation should highlight expert advisory, consulting and project management services provided for similar organizations. GOSR may alter the scoring of a qualified respondent's proposal based upon the presentation. GOSR, at its sole discretion, may choose the time and place of this interview. Respondents are responsible for all costs or expenses incurred to attend such interview.

4.4 Selection of Proposal in Best Interests of the State

Notwithstanding the scoring system set forth above, GOSR reserves the right to select a proposal that, in its sole judgment, is consistent with and responsive to the goals of the 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 email. GOSR will post the letter within a reasonable amount of time once awarded respondents have been notified.

4.6 Service Level Agreements

GOSR expects to select a respondent that will agree to clearly-defined service level agreements (“SLAs”), as yet to be determined but to be included in any final contract between parties. Such SLAs will be established and agreed to, to ensure that the selected respondent delivers the maximum level of service on a timeline and in a manner requested and required by the State to ensure a timely, efficient, equitable, and transparent recovery process. Fees provided under this contract will be contingent upon adherence to these SLAs and other pre-agreed metrics for success. Furthermore, GOSR reserves the right to cancel any contract awarded pursuant to this RFQ, or withhold payment of funds under any contract awarded pursuant to this RFQ, for failure to adhere to these SLAs.

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 RFQ. 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 RFQ 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; financial statements for the past 2 years or the life of the business, whichever is shorter, will be required if the respondent is a business entity organized under the laws of a State (e.g., individual practitioner, partnership, Limited Liability Company, corporation, non-profit organization, charitable institution, etc.); otherwise equivalent financial records must be included in the proposal
- (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 thoroughly reviewed the Disaster Relief Appropriations Act, 2013 (Pub. L. 113-2) and all pertinent Federal Register notices
- (h) Respondent has thoroughly reviewed the New York State Action Plan and all amendments thereto
- (i) Neither respondent nor any person or entity associated who is partnering with respondent has been the subject of any adverse findings that would prevent GOSR from selecting respondent. Such adverse findings include, but are not limited to, the following:
 - 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 respondent or by any entity or individual that comprises respondent
 - 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 Cover Letter and Table of Contents

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

Respondent must also include the following statement in the cover letter:

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

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

5.3.2 Executive Summary

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

Submit a completed Respondent Overview form (page 1 of the RFQ 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 expert advisory, consulting and project management services.

5.3.3 Experience and Capacity

Provide a summary of the types of services the respondent offers that relate to this RFQ. Provide specific details on any previous experience with federally funded disaster recovery programs and projects. Identify engagement and or staff experience with entities comparable to New York State for which the respondent provides or has provided, similar services within the last (10) years. Respondents must have participated in supporting federally funded disaster recovery programs and projects valued at \$100 (one-hundred) million or greater. Detail one to three (1-3) similar engagements and or experience with private and public sector clients that would demonstrate that the respondent can provide the services. Each example should include:

- a) Name of client organization
- b) Description of engagement or experience and objectives of the project including beginning and ending dates
- c) Examples of recommendations offered to the client and the results of the implementation of those recommendations
- d) Information regarding the project that would demonstrate successes experienced by the client as a result of the recommendations. This may include performance metrics and improvements
- e) If the example involves a private sector client, describe how the experience could be applied to the public sector

GOSR may seek information from references regarding subjects that include, but are not limited to, the quality of services provided, anticipated ability to perform the

services required in this RFQ and the responsiveness of the respondent to the client during the engagement.

Information provided by references may be used by GOSR for proposal evaluation purposes. GOSR is not responsible for the lack of responsiveness of the references listed by respondents, and the State is not required to alert respondents of a reference's unresponsiveness during the proposal evaluation period. Inability to contact a reference will not be looked upon favorably.

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

If a respondent will be subcontracting or partnering for any portion of the work, please also summarize the qualifications and experience of their relevant staff and attach any contracts or agreements pertaining to the proposal. **Please provide at least three (3) references for the respondent and for any partners or sub-contractors. Respondents are required to provide a reference for any disaster-related experience they list in this section.** Each reference should include the name, title, company, address, phone number and email address of the reference, and a brief summary of the relationship between the reference and the respondent.

Provide a summary of the respondent's technical expertise that describes the respondent's unique capabilities. This narrative should highlight the respondent's ability to provide expert advisory, consulting, and project management support services. Attach résumés and professional qualifications, including degrees, licenses and years of relevant experience for all titles being proposed on.

Specifically identify people currently employed by the respondent who will serve in key roles and descriptions for performing expert advisory, consulting, and project management support services program. List, describe, and discuss the need for specific roles to perform each of these functions.

In addition, identify any sub-consultants and subcontractors the respondent will be engaging as part of the proposal. Please note, respondents providing specific opportunities and partnerships with minority-and/or women-owned business enterprises will be given additional consideration as part of the proposal evaluation and selection process.

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

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

5.3.4 Approach and Methodology

Explain how the respondent will achieve the goals, objectives, tasks, and deliverables outlined in the Scope of Services for this RFQ: (Task 1) Expert Policy and Regulatory Consulting Services; (Task 2) Information Research and Financial Analysis; (Task 3) Project Management; (Task 4) Data and Information Systems; and (Task 5) Other Support Services. Individuals or firms may submit responses to one or all of the tasks identified in the Scope of Services. Address why the proposed approach is appropriate and suited for the affected counties in New York State.

Proposals must provide examples of how the proposed approach has achieved success in specific, relevant projects for public or private sector organizations similar in size and complexity to New York State government. The Technical Proposal must contain enough information for the evaluators to ascertain the success of the projects accomplished by the Firm, and include the metrics and factors used to demonstrate that those projects and the Firm's approach was indeed successful.

This section must include an acknowledgement that, if selected, the Firm has the ability to respond with sufficient key and line staff and that those key staff approved by the GOSR as part of the contract.

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

Provide detailed approach for establishing engagement of expert advisory, consulting and project management services for the broad range of activities outlined in the Action Plan, including housing, economic development, community reconstruction and infrastructure related programming. Describe the respondent's approach to identifying risks and mitigation measures, as well as its approach to making implementation recommendations.

5.3.5 Price Proposal

Team Rates

Complete the Price Proposal Form (Attachment 1):

- Specify each person performing the services proposed for this RFQ by name and use the titles provided.
- Respondents are required to use the titles provided, even if these titles are not consistent with the respondent's existing titles.

- Respondents are not required to submit rates for all titles listed.
- The price proposal must include only one rate for each labor category: Senior Project Manager, Project Manager, Financial Analyst I and II, and Technical Analyst (e.g., Data Analyst, Business Analyst, Engineers, etc.) I, II and III. A single blended rate for all contract titles cannot be proposed and will not be evaluated.
- Add as many rows as needed for relevant and related labor categories. For any additional labor categories, the respondent must provide a description of such, inclusive of the minimum education and experience qualifications.
- The price proposal must include the hourly rate (U.S. dollars) for each title described. Do not leave blanks or enter a zero dollar amount for any rate. All not-to-exceed hourly rates must be presented as a fixed dollar amount.
- List the rates for the entire three year term of the contract. The rates included in the proposal should be the respondent's lowest discounted governmental rates.
- **Hourly fees must be inclusive of all travel costs with exception of local project related travel to be assigned by GOSR.** GOSR will not separately reimburse proposers for travel costs other than specifically authorized local business related trips.
- The individual who signs the proposal cover page should sign the Price Proposal Form.

Respondents that regularly use pricing models other than what is required above may elect to submit an Alternate Cost Structure along with their completed Price Proposal Form. The Alternate Cost Structure should clearly describe the pricing model used by the respondent and provide a clear explanation of how the rates proposed on the Price Proposal Form correlate to the fees described in the Alternate Cost Structure. This information may be used, at the sole discretion of GOSR, when negotiating a contract with the selected respondent.

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

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

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

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

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

New York State Law

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

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

Business Participation Opportunities for MWBEs

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

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

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

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

Include the following in the respondent's proposal:

- (a) If the respondent is a New York State-certified M/WBE firm, provide documentation evidencing registration. For M/WBE firms that are not certified but have applied for certification, provide evidence of filing, including the filing date.
- (b) A description of the instances, if any, in which the respondent has worked with M/WBE firms on previous transactions by engaging in joint ventures or other partnering or subcontracting arrangements. Proposals should include the nature of the engagement, how such arrangement was structured and a description of how the services and fees were allocated.
- (c) A statement of the respondent's willingness, if any, to engage in M/WBE partnering or mentoring arrangements with a M/WBE firm selected by the respondent. Such statement should include an explanation of how the respondent would suggest structuring such an arrangement and allocating services and fees between the firms participating or mentoring arrangement.
- (d) Provide a plan for ensuring the participation of minority group members and women in accordance with the Participation by Minority Group Members and Women Requirements and Procedures for Contracts with HTFC, attached hereto as Appendix III.

5.3.7 Section 3 of the Housing & Urban Development Act of 1968

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

A "Section 3 resident" is: 1) a public housing resident; or 2) a low- or very low-income person residing in the metropolitan area or Non-metropolitan County where the

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

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

5.3.8 Vendor Responsibility

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

5.3.9 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.

5.3.10 Offeror Disclosure of Prior Non-Responsibility Determinations Form

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

5.3.11 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.

5.3.12 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 I, and any subsequent changes made by HUD.

5.3.13 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 – Price Proposal Form

Page 1 in RFQ Appendices – Respondent Overview

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

Appendix B – Offeror Disclosure of Prior Non-Responsibility Determinations

Appendix I – HUD General Provisions

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

Appendix III – Diversity Forms

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

Attachment 1

Price Proposal Form

Rates

Firm Name: _____

		Hourly Rates (Inclusive of Travel Costs*)		
Name(s)	Title	Contract Year		
		2014-2015	2015-2016	2016-2017
	Senior Project Manager			
	Project Manager			
	Financial Analyst II			
	Financial Analyst I			
	Technical Analyst III			
	Technical Analyst II			
	Technical Analyst I			

* Limited local travel expenses authorized for specific business purposes will be reimbursed separately.

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

Signature: _____

Date: _____