HOUSING TRUST FUND CORPORATION

Request for Proposals

For

Professional Services

For

Community Development Block Grant-Disaster Recovery

Construction Program Management Office (CPMO)
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1 GENERAL INFORMATION

1.1 Purpose

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

The GOSR intends to evaluate and select for award multiple contract(s) to those proposers to this solicitation whose proposals are determined to be the most beneficial to the GOSR. The initial term of the contract(s) period is two years with up to three one-year extension options to provide Construction Program Management and Support Services across a broad range of CDBG-DR funded programs managed by GOSR. 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 approximately 10,000 residents in up to 34 counties in New York State, and will contribute to essential investments in community infrastructure and resources. The selected respondent(s) will be responsible for designing and implementing monitoring and compliance services for a variety of programs outlined in the New York State Action Plan. These activities are briefly described below.

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

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 RFP. All New York State certified M/WBE firms submitting proposals to this RFP should be registered as such with the New York State Department of Economic Development. For M/WBE firms that are not certified but have applied for certification, please provide evidence of filing, including filing date.

HTFC 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 teaming 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% MWBE participation,
10% minority-owned business enterprises (“MBEs”) and 10% 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 they meet one of the following 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.

Respondents should be able to assist GOSR in ensuring that contractors and subcontractors performing work on federally funded contracts in excess of $2,000 for the construction, alteration, or repair of public works projects comply with the requirements of the Davis-Bacon and related Acts (DBRA) which includes the following:

a) Determine the extent of applicability of Davis Bacon and Related Acts for the prime and subcontracts on a given project
b) Request wage rate determinations for state and federal prevailing wage rates
c) Verify the wage rates in the solicitation for bids
d) Verify bidder eligibility
e) Re-verify the wage rate and verify the correct wage rates have been incorporated into the contract(s)
f) Inform prime and subcontractors of Labor Standards Requirements by conducting a preconstruction conference for an assigned project
g) Monitor contractor and subcontractor performance:
   1. Conduct on-site inspections to ensure that required notices and copies of the applicable wage rates are posted at reasonably accessible locations for the workers to review;
   2. Compare weekly payroll reports to the prevailing wage rate decision;
   3. Conduct interviews with construction employees to confirm job classifications and pay rates. Interviews should be conducted at least once a month throughout the construction period with a representative of each classification of laborers involved in the construction and at least 10 percent of the workforce;
   4. Documentation that each payroll review has been completed on a weekly basis;
   5. Availability of or access to a system and database that will allow for automated payroll review
h) Maintain and submit detailed reports that demonstrate the successful respondent’s monitoring and findings of review related to DBRA
i) Work with GOSR to investigate labor standards violations
j) Work with GOSR to prepare the semi-annual DBRA reporting requirements to HUD

1.3 RFP Timeline

<table>
<thead>
<tr>
<th>Target Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>July 1, 2014</td>
<td>Release of RFP</td>
</tr>
<tr>
<td>July 9, 2014</td>
<td>Anticipated Respondents’ Conference – 4:00 p.m. (Eastern) – Call in number will be posted on web site.</td>
</tr>
<tr>
<td>July 11, 2014</td>
<td>Last Day to Submit Questions – 1:00 p.m. (Eastern)</td>
</tr>
<tr>
<td>July 18, 2014</td>
<td>Issuance of Answers to Questions</td>
</tr>
<tr>
<td>July 29, 2014</td>
<td>Proposal Submission Deadline – 1:00 p.m. (Eastern)</td>
</tr>
<tr>
<td>Aug 19, 2014</td>
<td>Finalist Interviews (if applicable)</td>
</tr>
<tr>
<td>Aug 25, 2014</td>
<td>Target Date for Selection</td>
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</tbody>
</table>

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.
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 Programs

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

NY Rising Housing Recovery Program

a) Available to owners of one- and two-unit homes located outside of New York City whether owner occupied or income generating. New York City will administer its own CDBG-DR programs directly.

b) Will cover costs for the repair/replacement of damage to real property (including mold remediation); replacement of disaster-impacted non-luxury residential appliances; and environmental health hazard mitigation costs related to the repair or rehabilitation of disaster-impacted property.

c) All new construction of residential buildings or replacement and/or reconstruction of substantially damaged buildings must incorporate Green Building Standards.

d) Rehabilitation of non-substantially damaged buildings must follow guidelines in the HUD Green Building Retrofit Checklist.

e) Focus on LMI and urgent need individuals.

f) Property is located within a 100-year floodplain and damaged, or property was substantially damaged (i.e., lost more than 50% of pre-storm FMV), and still needs additional rehabilitation.

NY Rising Buyout and Acquisition Programs

a) The NY Rising Home Buyout Program (voluntary buyout program for one-two unit homes) 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 defined as “enhanced buyout areas”.
b) 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).
   • In accordance with the Notice governing the use of these funds, properties purchased as a “buyout” will be maintained in perpetuity as coastal buffer zones or other non-residential/commercial uses, and may also include acquisition of vacant or undeveloped land in these targeted areas.

c) Substantially Storm-damaged properties located inside the 500-year floodplain, but outside of the high-risk area (V Zone), may be purchased through Acquisition at 100% of post-Storm FMV (plus eligible relocation or other assistance). The difference between the pre-Storm FMV and post-Storm FMV of an Acquisition property is offered to the Owner as an incentive. NYS has the flexibility to hold any property purchased through Acquisition as undeveloped green space in perpetuity or to redevelop it in a resilient manner.

Multi-Family Repair and Reconstruction and Rental Properties Program

a) Repair and Reconstruction: available to owners of multi-unit residential buildings located outside of New York City including: rental properties, owner-occupied rental properties, non-owner-occupied properties that may be attached, semi-attached, detached/scattered site. New York City will administer its own CDBG-DR programs directly.

b) Will cover costs for the repair/replacement of damage to real property (including mold remediation); replacement of disaster-impacted non-luxury residential appliances; and environmental health hazard mitigation costs related to the repair or rehabilitation of disaster-impacted property.

c) The programs will also cover costs (including elevation) to mitigate future damage for those properties that are located within a 100-year floodplain.

d) All reconstruction or mitigation of substantially damaged buildings must incorporate Green Building Standards.

e) Rehabilitation of non-substantially damaged buildings must follow guidelines in the HUD Green Building Retrofit Checklist.

f) Assistance will be for unmet repair/reconstruction and elevation/mitigation needs after accounting for all federal, state, local and/or private sources of disaster-related assistance, including, but not limited to, SBA awards, property owners’ and/or flood insurance proceeds.

The Multi-Family/Affordable Housing Program

a) This program will support both the preservation of governmentally-assisted affordable housing developments, as well as the development of new affordable housing to address the rental housing shortage created by the storms and help revitalize hard hit communities. Assistance will be limited to projects located in storm damaged counties outside of New York City. Preservation assistance will be targeted to those storm damaged projects that serve low and moderate income residents, including special needs and other vulnerable populations.
b) It will support reimbursement of eligible repair/replacement costs; the repair/replacement of damaged rental properties with eight or more units; replace disaster-impacted non-luxury residential appliances; and cover environmental health hazard mitigation costs related to the repair of disaster-impacted property.

c) When practical and warranted, it will also cover the cost of mitigating future damage (including elevation when practicable and cost effective) for properties located within a 100-year floodplain. Assistance shall be for “unmet” rehabilitation and mitigation needs after accounting for all federal, state, local and/or private sources of disaster-related assistance, including, but not limited to, property owners’ and/or flood insurance proceeds.

**Infrastructure and Local Government Program**

a) The initial Action Plan allocated $350 million to the Infrastructure and Local Government Program to create programs to assist units of government to pay the non-federal share, or “local match,” for infrastructure projects funded with non-HUD federal recovery funds, as well as for “stand-alone” CDBG-DR infrastructure and local government projects that would assist communities in recovering from Sandy, Irene, and Lee.

b) Under Amendment 6, the allocation to the Infrastructure and Local Government Program will be increased by $430 million, bringing the total program budget to approximately $780 million.

c) The program expects to fund large initiatives to include critical infrastructure projects in the energy, transportation, water and wastewater, health care, and coastal restoration sectors. The program also expects to fund smaller projects to address other local government and school-based needs.

**New York Rising Community Reconstruction Program**

a) The initial Action Plan allocated $25 million to initiate a robust, community-driven planning process for the most heavily impacted regions of the State. Amendment 6 allocates an additional $639,510,794 to the NYRCR Program, bringing the total allocation to $664,510,794.

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

c) By the end of March 2014, each committee produced a Final Community Reconstruction Plan that outlined proposed projects and other actions in six recovery areas: community planning and capacity building, economic development, health and social services, housing, infrastructure, and natural and cultural resources. HTFC and GOSR anticipate that these Final Community Reconstruction Plans will generate 300-500 CDBG-DR projects across a wide range of eligible activities for implementation in the State.

d) In December of 2013 the State added 22 additional communities to the NYRCR Program resulting in up to 16 additional planning committees. The planning process for these new planning committees commenced in April 2014.

e) Because the NYRCR Program is a grassroots, community-driven process with the goal of coordinating recovery and resiliency at a local level, it is anticipated that there may be a large number of subrecipients implementing NYRCR projects.
1.6 Scope of Services

The GOSR intends to award one or more contracts for Task 1 - Construction Program Management Office (CPMO) to the most qualified proposer(s) to this solicitation. Figure 1 below outlines additional Construction Management and Support Services Tasks 2-6, which will be bid under a separate RFP. While bidders may submit responses to both RFPs, awards will only be made for Task 1 or one or more of Tasks 2-6. The intent of separating the CPMO from the Construction Management and Support Services tasks is to clearly delineate responsibility for oversight and program coordination (Task 1) from that of project delivery and execution (Tasks 2-6).

The contracted Construction Program Manager will provide services in the areas of program management, and related services as described in this RFP. The following general descriptions of the Scope of Services are intended to provide a guideline for proposers in developing a Technical Approach in their proposals that will ensure a high level of quality of services and the implementation of the GOSR program. The descriptions provided herein are expressed in generality, and it is expected that proposals will supplement and expand upon the descriptions of the approach to meeting the stated goals and objectives including complete enumeration of services and full list of deliverables.

<table>
<thead>
<tr>
<th>Damage Assessments SME</th>
<th>Environmental SME</th>
<th>Inspection Services SME</th>
<th>Demolition SME</th>
<th>Construction Management</th>
</tr>
</thead>
</table>

Task 1 in scope of this RFP

Figure 1: Construction Program Management and Support Services Organization

1.6.1 Construction Program Management Office (CPMO) Scope of Services

The Construction Program Management Office (CPMO) scope of services comprises support for the administration, financial management and oversight of the Program as directed by the GOSR. The CPMO is expected to develop, implement and monitor a program-wide Construction Program Management Office that includes:
a) Maintain office(s) in close proximity to the GOSR staff office for the life of the contract – all costs for maintenance of this office shall be included in construction manager’s overhead.
b) Scope/deliverables identification – Work Breakdown Structure (WBS)
c) Establish policies and procedures to ensure transparency and uniformity in Program execution by all consultants assigned to the CM for oversight.
d) Develop a construction program management plan that clearly delineates, describes and specifies the following:
   o Scope, schedule, budget, cost reporting, trend analysis, project / program reporting, information technologies, communications, audit support and information systems.
e) Track and report Program performance against set goals and objectives. Manage the timely expenditure of CDBG-DR Grant Program funds
f) Develop and execute sub-recipient agreements, MOU and applications for CDBG funded projects ensuring compliance with all state, local, federal and HTFC requirements
g) Implement necessary financial controls required by GOSR to document CDBG-DR Grant Program compliance. Without limitation to the foregoing, cooperate with GOSR in the development and/or implementation of such construction-related financial controls as shall reasonably be required by GOSR to ensure CDBG-DR Grant Program compliance and detect and prevent fraud, waste and abuse
h) Report relevant performance and expenditure data to GOSR to facilitate compliance with all applicable CDBG-DR Grant Program requirements
i) Conduct public engagement and outreach
j) Manage contracted construction management consultant(s) for Tasks 2,3,4,5,6 and other consultants as designated by GOSR.
k) Development of design and construction specifications for each of the CDBG programs.
l) Cooperate with GOSR in all proceedings necessary to demonstrate compliance with applicable environmental review requirements in 24 CFR part 58 or as otherwise provided in the CDBG-DR Grant Program approval
m) Provide design and construction technical assistance to affected residents and communities including HUD Green Building Retrofit compliance requirements
n) Health and safety monitoring
o) Identifying, assessing, mitigating, monitoring and reporting risk
p) Assist in the development of a Construction monitoring and on-site monitoring plan.
q) Create a dashboard or some other similar tool to effectively capture and report on all projects of the Program
r) Develop and maintain an Integrated Master Schedule (IMS) with key milestones
s) Instituting procedures for continuous performance evaluation, training, and development and tracking and reporting of key program performance metrics
t) Develop a program-wide Quality Management Plan
u) Develop and implement Project Close-Out Program utilizing GSOR checklists and procedures.

1.7 Key Deliverables

1.7.1 Construction Program Management Office (CPMO) Key Deliverables

1. Project Phasing and Staffing Mobilization Plan: The Contractor shall submit in conjunction with the IMS a Project Phasing and Staffing Mobilization Plan. The plan shall
establish the Contractor’s approach to their staffing, including at a minimum the key personnel assignments organized by project phase such as transition services, activation, and turnover. The plan shall be submitted with each stage of the IMS submissions as described in the Individual Task Order PWS, even if no changes are required.

2. **Strategic Execution Plan (SEP):** Develop a Program Execution Strategy to plan operations, resources, align organization goals, monitor implementation and facilitate a way of thinking, acting and learning to achieve organizational success, shape, and guide the organization in the execution of the CDBG-DR Grant Program. Develop a Strategy Map to illustrate important elements of the Program and how each relates to one another (Road Map). The SEP should identify, capture and organize all projects, strategy projects in particular, and align all with the goals of the organization, communicate strategy, identify key individual roles, and provide progress reporting mechanisms.

3. **Program- Training and FAQ Internal website.**

   Develop and maintain Program website that, at a minimum, includes the following:
   a. Policies and procedures
   b. Integrated Master Schedule (IMS) and individual project schedule information
   c. Master budget and individual project budget information
   d. Progress reports
   e. Program and project news
   f. Training materials
   g. Frequently asked questions
   h. Forms and checklists
   i. Contact information

4. **Quality Management Plan (QMP):** Develop a QMP with the purpose of defining quality assurance and quality control (QA/QC) across all functions of the Program within the high standards of quality expected by GOSR.

5. **Risk Management Plan (RMP):** The Contractor shall submit a Risk Management Plan. The plan shall include an itemized listing of project-specific risks, challenges and perceived problems that are anticipated to threaten the project. Risks identified shall include probability of occurrence, and level of impact. With each issue specified, the contractor shall list their proposed solution to mitigate or resolve the risk/challenge/problem. Risk Management should be a regular coordination meeting agenda item to ensure Risks are being managed per the RMP. The RMP shall be updated as additional risks are identified through coordination meetings or day to day project execution.

6. **Key Performance Metrics:** Develop and implement metrics to assist GOSR in making management decisions to monitor Program progress, identify strengths and challenges, minimize risk, allocate resources, affect change and exert control over Program quality, cost and schedule.
7. **Safety Plan**: The safety management plan defines methods and processes for the identification and management of inherent safety risks associated with the execution of the CDBG-DR Grant Program. The Plan includes safety, security, handling of hazardous materials, waste management, illness and injury prevention program (IIPP), compliance with local, state, federal, OSHA and GOSR regulations, training, monitoring, recording, emergency management, fire/life safety and safety performance metrics.

8. **Cost Management Plan**: The Cost Management Plan defines how the Program costs will be managed and reported, identifies factors that tend to increase the cost, describes procedures that will be implemented to manage cost, quantifies and identify contingency cost, provides for monthly review of risks and changes to approved plan, identifies individual(s) responsible for cost management and approval of changes, describes report format and how cost is reported.

9. **Integrated Master Schedule (IMS)**: Develop a Program-Wide Integrated Master Schedule (IMS) to keep track of the different components of the CDBG-DR Grant Program, identify major deliverables, identify Program critical path, assess risk, assign priorities and resources critical to performing effective program planning, budgeting, scheduling and execution, prioritize and provide summary level project(s) schedule. Submit an initial Master Program Schedule within the first 60 days following award of contract and a final Master Schedule within 120 days of contract award. Update the Program Master Schedule monthly over the life of the contract.

10. **Emergency Response Plan**: Conduct risk assessments to identify potential emergency scenarios, determine resources requirements, develop plans, procedures and crises communication plan.

11. **Monthly Progress Report(s)**: Develop and provide quarterly reports to report on the health of the CDBG-DR Grant Program including financial, administrative, risks, challenges, highlight areas that need attention, create awareness, funds disbursement, project(s) progress report(s), safety, quality and contingency funds.

12. **Video conferencing system**: Develop, implement and maintain video conferencing system to provide a continuous video link between the CPMO office and the GOSR office at Beaver street. This project will be implemented to facilitate collaboration and coordination between GOSR and CPMO. Cost of hardware, software and connectivity for this project may be eligible for reimbursement.

### 1.8 Key Personnel

**1.8.1 Construction Program Management Office (CPMO)**

Each proposal shall describe the organizational structure of the proposed team, including Key Personnel and sub-contractors that will be assigned to performance of the Construction Program Management Office (CPMO).
Key Personnel Replacement: Respondents shall request in writing

At a minimum each proposal shall include:

a) An organization chart showing the reporting responsibilities and organization of all Key Personnel and sub-contractors.

b) Key Personnel job descriptions and reporting responsibilities, an identification of all individuals performing functions of Key Personnel who meet the minimum qualifications of each key role.

c) Roles, responsibilities, minimum qualifications and experience are included in the table below:

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibility</th>
<th>Minimum Qualifications</th>
</tr>
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<tbody>
<tr>
<td>Construction Program Manager (Key)</td>
<td>The Construction Program Manager shall be the GOSR Program Manager’s functional lead, responsible for directing and managing all aspects of the Construction Program Management Office. The Construction Program Manager will report to the GOSR Director of Operations (GOSR Program Manager). Must be a superb communicator, must have the ability to proactively assign necessary resources to disparate, competing and variable priority tasks.</td>
<td>Masters degree in Construction Management, Civil Engineering, Business or related field and 5 years of relevant experience OR Bachelors degree in Construction Management, Civil Engineering, Business or related field and 10 years of relevant experience</td>
</tr>
<tr>
<td>Deputy Construction Program Manager (Key)</td>
<td>Assist the Construction Program Manager with the execution of operations of the program, provides day to day supervisory control over managers and serves as the Acting Construction Program Manager in the Program Manager’s absence. It is important that this person has both the technical expertise and knowledge of large government bond construction programs.</td>
<td>Masters degree in Construction Management, Civil Engineering, Business or related field and 5 years of relevant experience OR Bachelors degree in Construction Management, Civil Engineering, Business or related field and 10 years of relevant experience</td>
</tr>
<tr>
<td>Construction Program Design Manager (Key)</td>
<td>Reports to the Deputy Construction Program Manager and establishes guidelines, standards, design tools, processes and procedures for the preparation, review, and approval of the CDBG-DR Grants Program projects. These services include enforcement of GOSR design standards, coordination and review efforts such as constructability reviews, value engineering, LEED and other.</td>
<td>Masters degree in Environmental Design, Architecture, Engineering, Business or related field and 5 years of relevant experience OR Bachelors degree in Environmental Design, Architecture, Engineering, Business or related field and LEED AP accreditation and 10 years of relevant experience</td>
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<tr>
<td>Team Lead</td>
<td>Responsibilities</td>
<td>Qualifications</td>
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<td><strong>Team Lead Operations Manager (Key)</strong></td>
<td>Manages the day-to-day issues that arise in the course of management and implementation of the CDBG-DR Grants Program, ensures policy and safety procedures are followed, monitor adherence to rules and regulations, improve processes and procedures in support of the organizational goal, plan, direct and coordinate operations amongst all CPMO, HFTC and CM consultants, plan use of resources, manage personnel and administrative services.</td>
<td>Masters degree in Business or related field and 3 years of relevant experience OR Bachelors degree in Business or related field and 5 years of relevant experience OR 10 years of applicable experience</td>
</tr>
<tr>
<td><strong>Team Lead Information Technology/Systems Manager (Key)</strong></td>
<td>Provides strategic and technical leadership for the program’s infrastructure, oversees program planning, database, supervises maintenance, monitor backup and supervises professional and technical personnel involved in the development of new, existing and/or maintenance and operation of existing information technology systems.</td>
<td>Masters degree in Information Systems or related field and 3 years of applicable experience OR Bachelors degree in Information Systems or related field and 5 years of applicable experience OR 7 years of applicable experience</td>
</tr>
<tr>
<td><strong>Team Lead Construction Manager (Key)</strong></td>
<td>This position participates in all project design reviews, oversees contract competitive bids, negotiations, and award processes. Prepares, organizes training, implements standardized construction policies and procedures, monitors activities of construction managers and consultants, construction progress, tracks budget and schedule performance and ensures compliance with the CDBG-DR Grant Program guidelines.</td>
<td>Masters degree in Construction Management, Civil Engineering, Business or related field and 3 years of relevant experience OR Bachelors degree in Construction Management, Civil Engineering, Business or related field and 5 years of relevant experience OR 10 years of applicable experience</td>
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<tr>
<td><strong>Team Lead Close-Out Manager (Key)</strong></td>
<td>Responsible for the financial and administrative close-out of all Program projects, ensure close-out practices are applied at various stages of the project, collect project records, analyze projects highs and lows, gather lessons learned, and archive project information, verify all deliverables have been received and accepted and stakeholder requirements met, confirm terms and conditions of the contract have been addressed, conduct post-project assessment, review and evaluation, and ensure transfer of knowledge.</td>
<td>Masters degree in Construction Management, Civil Engineering, Business or related field and 3 years of relevant experience OR Bachelors degree in Construction Management, Civil Engineering, Business or related field and 5 years of relevant experience OR</td>
</tr>
<tr>
<td>Team Lead</td>
<td>Environmental Manager (Key)</td>
<td>Responsible for the development, implementation and monitoring of environmental strategies and action plans, policies and programs in support of the CDBG-DR Grant Program, ensure compliance with all applicable local, state, federal and HFTC environmental regulations in the abatement, removal and disposal of all hazardous materials, carry out staff training, take a lead in sustainable procurements, compliance with HUD Green Building Retrofit Checklist and Green Building Standards, coordinate all aspects of pollution control, waste management, recycling, environmental health and renewable energy, audit, analyze and report environmental performance, manage public hearings on environmental matters, prepare and disseminate reports.</td>
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<tr>
<td>Team Lead</td>
<td>QA/QC Manager (Key)</td>
<td>Develops quality standards to be incorporated into procedures governing the CDBG-DR Grant Program and establishes an audit system that monitors and tracks compliance with set processes and procedures at all levels of the Program. Further, the QA/QC Manager sets performance metrics and reports on status of quality assurance procedures.</td>
</tr>
<tr>
<td>Team Lead</td>
<td>Controls Manager (Key)</td>
<td>Responsible for the deployment of a program-wide project management system such as Primavera or comparable and provides support and training for all users, develops specific organizational work breakdown structures (WBS), assists in creating resource/cost loaded integrated schedules by maintaining cost and resource database, works closely with all levels of the organization to ensure timely cost and schedule controls are implemented and maintained.</td>
</tr>
<tr>
<td>Team Lead</td>
<td>Financial (Cost)</td>
<td>Oversees encumbered contracts, approval, and processing of all</td>
</tr>
<tr>
<td>Position</td>
<td>Requirements</td>
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<td>----------------------------------------------</td>
<td>------------------------------------------------------------------------------</td>
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<tr>
<td>Control Manager (Key)</td>
<td>invoices, disbursement of CDBG-DR Grant Program funds, coordinates with external auditors, maintains database on encumbered funds, publishes monthly cost reports and performs other financial functions related to the Grant Program funds. related field and 3 years of relevant experience OR Bachelors degree in Construction Management, Civil Engineering, Business or related field and 5 years of relevant experience OR 10 years of applicable experience</td>
<td></td>
</tr>
<tr>
<td>Health and Safety Lead Manager (Key)</td>
<td>Responsible for developing and implementing a program-wide health and safety plan including accident prevention standards, reporting, training, emergency response plans, hazardous materials handling, safety meetings, illness and injury prevention plans, and field site inspections. Masters degree and 3 years of relevant experience OR Bachelors degree and 5 years of relevant experience OR 10 years of applicable experience</td>
<td></td>
</tr>
<tr>
<td>Project Manager</td>
<td>Bidders may specify</td>
<td></td>
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<tr>
<td>Project Coordinator</td>
<td>Bidders may specify</td>
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<tr>
<td>Project Administrator</td>
<td>Bidders may specify</td>
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<tr>
<td>Business Analyst</td>
<td>Bidders may specify</td>
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<tr>
<td>IM/IT Analyst</td>
<td>Bidders may specify</td>
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<tr>
<td>Financial Analyst</td>
<td>Bidders may specify</td>
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<tr>
<td>Data Analyst</td>
<td>Bidders may specify</td>
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</tbody>
</table>
1.8.2 Key Personnel Replacement

Key Personnel are those Contractor personnel considered to be essential to the performance of the contract and task orders. No changes in Key Personnel will be made unless the Contractor can demonstrate that the qualifications of prospective replacement personnel are equal to or better than the qualifications of the Key Personnel being replaced. All proposed substitutes shall have qualifications equal to or higher than the qualifications of the person to be replaced. GOSR reserves the right to re-evaluate the selection of any respondent if one or more key personnel are replaced within the first six months of contract performance.

GOSR shall be notified in writing of any proposed substitution at least thirty (30) days in advance.

Such notification shall include:
  a) An explanation of the circumstances necessitating the substitution;
  b) a complete resume of the proposed substitute; and
  c) any other information requested by GOSR facilitate evaluation of Contractor’s substitution request.

GOSR reserves the option of reviewing, re-evaluating and rescoring Contractor’s response to this solicitation and further reserves the option of invalidating the Contractors’ response to this solicitation due to excessive substitutions.

1.9 Number of Awards

The respondent recognizes that, at the sole discretion of GOSR and based upon the breadth and experience of respondents to this RFP, GOSR may decide to award one or more contracts for each of the service categories described within this RFP.

While bidders may submit responses to both the Construction Program Management Office (CPMO) RFP and the Construction Management and Support Services RFP, awards will only be made for Task 1 (CPMO) or one or more of Tasks 2-6 of the Construction Management and Support Services RFP.

Nothing in this paragraph 1.9 shall be construed in derogation of GOSR’s right, in its sole discretion, to cancel this RFP.

2 ADMINISTRATION INFORMATION

2.1 RFP Coordinator

Contact information for the RFP Coordinator is as follows:

Danielle Ruggiero
Governor’s Office of Storm Recovery
25 Beaver Street
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 e-mail to GOSRProcurement@stormrecovery.ny.gov. All questions must reference this specific RFP in the subject line of the email. For Example, the subject line for questions related to this RFP should read RE: RFP Question – CPMO. Answers to all substantive questions, including any substantive questions arising from the respondents’ conference, will be posted on the GOSR “Procurement Opportunities” webpage listed above as soon as practical following the deadline for question submission. All questions and correspondence must be sent to GOSRProcurement@stormrecovery.ny.gov. Any correspondence or questions sent to any other email address regarding this RFP will not be answered.

2.3 Procurement Lobbying Provisions

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

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

For all lobbying law contacts and inquiries, please contact:
Chanterelle Sung
Lobbying Contact Officer
Governor’s Office of Storm Recovery
GOSRProcurement@stormrecovery.ny.gov
Email must indicate subject: **RE: Lobbying Inquiry**

### 2.4 Conflicts of Interest

Any contract awarded under this RFP will preclude the selected respondent from representing before GOSR any bidder or grantee of GOSR other than those bidders or grantees who may be assigned under this contract during the period the contract is in effect. The selected respondent will be subject to the provisions on conflicts of interest set forth in section 74 of the New York State Public Officers Law.

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

### 3 PROPOSAL INFORMATION

#### 3.1 Proposal Instructions

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

Proposals must be delivered by email in two parts no later than: **1:00 pm (EDT) on the date indicated in the table of section 1.3.** Part one is to include the Cost Proposal. The email subject shall indicate **RE: [Company Name] Cost Proposal for CPMO.** Part two is to include the Technical Proposal along with all applicable attachments and completed forms. The email subject shall indicate **RE: [Company Name] Technical Proposal for CPMO.**

Additionally, four hard copies of the proposals shall be submitted to GOSR by the required deadline. Hard copies should be printed in black and white with tabs, and provided in a 3 ring binder.

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

All submitted files are to be in Portable Document Format (PDF) compatible with Adobe Reader XI, version 11.0.4.
Electronic (pdf) proposals shall be submitted by email to:
Ms. Danielle Ruggiero
RFP Coordinator
Governor’s Office of Storm Recovery
GOSRProcurement@stormrecovery.ny.gov

Hard copy proposals shall be delivered to:
Governor’s Office of Storm Recovery
Fifth floor
25 Beaver Street, New York, NY

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. All prices shall remain valid for ninety (90) days after cost proposal submittal date.

The proposal should otherwise concisely state the respondent’s ability to meet the requirements of the RFP. There is a **20-page total limit for the technical volume and no limit to the price volume (Excel Worksheet)** with the exception that résumés (include with technical), curricula vitae, appendices that document relevant work performed, and screen shots of potential project management systems do not count against the page limit.

Proposal font size shall not be any less than 12 point, with 1-inch margins, with the exception of tables and charts, but such text must be clearly legible. Respondents are encouraged to submit only relevant and necessary information.

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

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

### 3.2 Rejection of Proposals; Cancellation of RFP

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

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

3.4 Withdrawal of Proposal

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

3.5 Ownership of Proposal

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

3.6 Proprietary Information

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

3.7 Cost of Preparing Proposals

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

3.8 Errors and Omissions in Proposal

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

3.9 Award and Execution of Contract

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

3.10 RFP and Proposal as Part of Contract

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

4.1 Evaluation Methodology

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

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

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

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

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

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

4.2 Evaluation Criteria

Complete proposals will be preliminarily evaluated based on the qualifications, experience, key personnel and capabilities set forth in the Technical Proposal and Price Proposal and each Proposal will be scored according to the criteria listed below.
4.2.1 FACTOR 1 - Proposer’s History and Organization

Will be scored on the proposer’s history as a firm, length of time performing work in similar programs, claims history, depth and financial strength of the organization.

Additionally scored on the respondent’s demonstrated experience in executing and delivering Construction Program Management and Support Services. Respondents who have demonstrated experience and success in providing similar services for housing grant and loan programs, business grant and loan programs, and a variety of infrastructure development projects will be scored higher than those who do not.

4.2.2 FACTOR 2 – Staffing Plan and Resumes of Proposed Staff

Provide a functional organizational chart of full time staff proposed for the project. List only the required 40 staff / titles and positions listed in the price proposal. It is anticipated that approximately 40 positions will be necessary, but this count is not guaranteed.

Proposers will also be scored based on the qualifications and education requirements of Key Personnel, length of employment and history of proposed individuals with the proposing firm, Key Personnel history of working together on similar programs, references, record of delivering quality services, meeting cost and schedule commitments on similar programs.

Ancillary staff such as senior advisors may be included for informational purposes but will not be scored.

All staff proposed on the staffing plan and in the price proposal will need to be assigned full time to this program.

4.2.3 FACTOR 3 - Proposed Technical Approach and Methodology

Scored based on understanding of the scope of services described in Scope of Services and Key Deliverables, clarity in the emphasis of tasks, clear communication of methods to accomplish the organizational and Program goals, creativity in proposing means to execute and deliver the Program within budget and time-line, and quality of proposal.

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 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.

4.2.4 FACTOR 4 – Compliance with regulations and M/WBE Participation

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.

Proposals that present a clear and straightforward execution work plan and that demonstrate creativity and ability to team up with other similar experienced firms (with particular focus on M/WBE) to leverage resources in the timely delivery of proposed services will receive the most points.

4.2.5 FACTOR 5 - Price Proposal

Proposals will be scored based on the price proposal format provided. Each Proposer shall submit a Staffing and Price Proposal as a separate volume from that of the Technical Proposal. The Staffing and Price Proposal should include a full staffing plan for all Key Personnel for the duration of the contract base period and option years.

a) Refer to and use price proposal template.
b) Multipliers for individual staff may be different.
c) Reimbursable and Non-Reimbursable expenses are defined in Exhibits A and B and shall be accounted for in the Price Proposal

4.2.6. Evaluation Criteria

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Weight (%)</th>
<th>Max. Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>FACTOR 1 - Proposer’s History/Organization</td>
<td>10%</td>
<td>50</td>
</tr>
<tr>
<td>FACTOR 2 – Staffing Plan Resumes of proposed staff</td>
<td>25%</td>
<td>125</td>
</tr>
<tr>
<td>FACTOR 3- Proposed Technical Approach &amp; Methodology</td>
<td>25%</td>
<td>125</td>
</tr>
<tr>
<td>FACTOR 4 – M/WBE Participation</td>
<td>20%</td>
<td>100</td>
</tr>
<tr>
<td>FACTOR 5 - Price Proposal</td>
<td>20%</td>
<td>100</td>
</tr>
<tr>
<td>Total Maximum Points</td>
<td>100%</td>
<td>500</td>
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</table>

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 Construction Program Management and Support 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 overnight or regular post.

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 RFP, or withhold payment of funds under any contract awarded pursuant to this RFP, for failure to adhere to these SLAs.

5  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, not just lists, the following qualifications:

- 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.
- If respondent is a New York State certified M/WBE firm, please provide evidentiary documentation of registration.
- Comply with the required or proposed delivery or performance schedule, taking into consideration all existing commercial and governmental business commitments.
- Satisfactory performance record, demonstrated by three references from owners for similar scope of work.
- Necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them.
i) Certification that the respondent has thoroughly reviewed the Disaster Relief Appropriations Act, 2013 (Pub. L. 113-2) and all pertinent Federal Register notices.

j) Certification that the respondent has thoroughly reviewed the New York State Action Plan and all amendments thereto.

k) Certification that the respondent represents that at the time of submission of its Proposal, Respondent and its Subconsultants possesses each license that it is required to hold under the terms of the RFP documents, as well as any other license(s) that it is required by Applicable Laws to hold in order to perform those services it anticipates it will be required to perform under the terms of the Program Management Agreement.

l) Neither respondent nor any person or entity associated or 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 Executive Summary

Provide a cover letter that includes, at a minimum, the following information:

a) Identification (Name, address, and contact information) of the Proposer
b) A statement affirming that the Proposal shall remain valid for a period of ninety (90) days following the submission due date
c) A certification that the information submitted in and with the proposal is true and accurate, and that the person signing the cover letter is authorized to submit the proposal on behalf of the respondent.

Provide a brief 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.), number of years in business, the percentage of business devoted to program and construction management, in particular, management of programs similar in nature, scope and size to the RFP and an organization chart,

The location of the office that will be principally responsible for performance of the Program Management Services

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. Provide the respondent’s financial statements for the previous two (2) years.

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

5.3.2 Staffing Plan and Resumes

Provide functional organizational chart of full time staff proposed for the project. List all 40 staff / titles and positions listed in the price proposal. Indicate each MWBE position.

Provide resumes of all 13 key Personnel, using the table format provided in Exhibit E. No need to submit company resumes. Resumes will be evaluated and scored on the basis of meeting minimum qualifications, quality and applicability of experience, the clarity, brevity and conciseness of the resume.

There is no need to list or include irrelevant experience or lists of inapplicable projects.

5.3.3 Experience and Capacity

Experience

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

a) Name of client organization.
b) Description of engagement and objectives of the project including beginning and ending dates.

c) Examples of recommendations offered to the client and the results of the implementation of those recommendations.

d) Information regarding the project that would demonstrate successes experienced by the client as a result of the recommendations. This may include performance metrics and improvements.

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

GOSR may seek information from references regarding subjects that include, but are not limited to, the quality of services provided, anticipated ability to perform the services required in this RFP, and the responsiveness of the respondent to the client during the engagement.

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

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

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.

Capacity to Perform Services

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 Program Management, Construction Management and Related Services.

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

Specifically identify people currently employed by the respondent who will serve in key roles and descriptions for performing Construction Management and Related Inspection Services. 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.

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 this RFP. Set forth a detailed narrative describing the unique process the respondent would apply to monitoring and compliance services. Outline the respondent’s approach to streamlining monitoring processes to provide successful and timely services to GOSR. Address why the proposed approach is appropriate and suited for the affected counties in New York State.

Further, describe fully any similar experience for projects for public and/or private sector organizations similar in size (both in terms of size of workforce and budget) and complexity to New York State government. Proposals must provide examples of how the proposed approach has achieved success in specific, relevant projects for public or private sector organizations similar in size and complexity to New York State government. The Technical Proposal must contain enough information for the evaluators to ascertain the success of the projects accomplished by the Firm, and include the metrics and factors used to demonstrate that those projects and the Firm’s approach was indeed successful.

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

Identify existing staff who will be involved in ongoing program management, including each staff member’s proposed role in the organization, their relevant qualifications, and the allocation of their time to this project. Additionally, clearly identify the staff to be employed, including staff that will need to be hired, the process for hiring them, and how they will be trained. Indicate if any work will be subcontracted to other partners. If so, please provide a pending or executed contract, MOU, or agreement. If the agreement is pending a successful proposal, it must be executed and a copy submitted to GOSR prior to the execution of the contract awarded pursuant to this RFP. Clearly detail and describe the respondent’s approach to start-up of operations.
Resumes are to be limited to no more than 2 pages each and shall clearly demonstrate how the proposed staff member meets each qualification requirement including a list of applicable experience and education. Applicable experience is to be listed in chronological order, with the number of years clearly delineated, corresponding to each assignment and a description as to how the work completed during this assignment is applicable to this program.

Provide detailed approach for establishing engagement of a monitoring and compliance program for the broad range of activities outlined in the Action Plan, including housing, economic development, and infrastructure related programming. Describe the respondent’s approach to identifying risks and mitigation measures, as well as its approach to making implementation recommendations. **Provide samples of any risk matrix tools or technologies that can support the management and monitoring of overall risks.** Provide sample monitoring plans and reports, audit plans and reports, and investigative plans and reports as well as a description of the system(s) used to capture, maintain, review, and report data.

Outline procedures for ensuring compliance with all federal and state legal requirements.

### 5.3.5 Price Proposal – use included template

The included Price Proposal Worksheet (Exhibit D) represents fully-burdened hourly rates for each labor category. The fully-burdened labor rates include all direct, indirect, general and administrative costs and profit associated with providing the required skill. The fully-burdened labor rates include all labor and labor-related costs, such as, but not limited to, the following list of representative labor-related costs: salaries, wages, bonuses to include stock bonuses, incentive awards, employee stock options, stock appreciation rights, employee stock ownership plans, employee insurance, fringe benefits, contributions to pension, other post-retirement benefits, annuity, employee incentive compensation plans, incentive pay, shift differentials (if applicable), overtime (for applicable wage determination labor categories), vacation time, sick pay, holidays, and all other allowances based upon a comprehensive employee compensation plan.

- Firms responding to this RFP are required to submit staffing plans (Complete Price Proposal Form in Exhibit D) demonstrating how they intend to staff performance of scope of services as required in this RFP. Each Proposer shall submit Staffing and Pricing Proposals, separately packaged from its Technical Proposal, which includes a Proposed Full Staffing Plan that covers the entire two-years of the Program and the optional three years.
- Specify each person performing the services proposed for this RFP 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.
- The price proposal must include only one rate for each labor category: Construction Program Manager, Deputy Construction Program Manager, etc. A single blended rate for all contract titles cannot be proposed and will not be evaluated.
• 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 initial two-year contract period and for the additional three one-year extension, should GOSR choose to exercise its option to extend the contract. The rates included in the proposal should be the respondent’s lowest discounted governmental rates.
• Hourly fees must include any reproduction, travel, postage, or other expenses.
• The Price Proposal Form should be signed by the individual who signs the proposal cover page.

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 RFP.

In 2006, the State commissioned a disparity study to evaluate whether M/WBEs had a full and fair opportunity to participate in State contracting. The findings of the study were published on April 29, 2010, under the title “The State of Minority and Women-Owned Business Enterprises: Evidence from New York“ (“Disparity Study”). The report found evidence of statistically significant disparities between the level of participation of M/WBEs in State procurement contracting versus the number of M/WBEs that were ready, willing and able to participate in State procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the M/WBE program. The recommendations from the Disparity Study culminated in the enactment and the implementation of Article 15-A, which requires, among other things, that 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, GOSR has established an overall goal of 20% for M/WBE participation for the above described services
performed under the contract(s) awarded pursuant to this RFP: 10% for Minority-Owned Business Enterprises and 10% for Women-Owned Business Enterprises.

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

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

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.

(c) 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.

The MWBE plan should address each of the following:
• In support of the Governor’s mission to increase MWBE participation in NYS contract activity, does your firm have a 3-5 plan to assist in the development and capacity building of this MWBE partnership?

• Can you discuss how the MWBE partner will be engaged on any assignment with the agency?

• How will your firm evaluate the success of this partnership?

(d)

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.
List of Exhibits and Appendices

Exhibit A - Non-Reimbursable Expenses
Exhibit B - Reimbursable Expenses
Exhibit C - Damage & Environmental Assessments Forms and Checklist
Exhibit D - Format for Price Proposal
Exhibit E – Format for Resumes

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
EXHIBIT “A”

Non-Reimbursable Expenses

Non-reimbursable expenses consist to the following:

- All travel expenses unless specifically authorized by GOSR; while Contractor may propose staff that are non-local, GOSR shall not bear the burden of routine travel to and from the NY area. In rare circumstances, if a particular service is required from an out of area resource, GOSR may authorize travel expense.
- Office space in a location acceptable to GOSR.
- Printing, reproduction, reprographics
- Shipping, over-night mail, messenger, courier, delivery services
- Mileage for business travel; unless specifically authorized by GOSR.
- Telephone, cell phone use charges
- All standard office information and technology tools such as software, computers, Internet connectivity, file servers, backup devices, routers, telephones, cell phones, wifi modems, and other related equipment
- Office space use, rental and/or lease
- Fuel costs for vehicles use
- Parking validations
- Meals and refreshments
- Safety supplies
- Utility costs
- Rental costs
- All other expenses not specifically authorized by GOSR
EXHIBIT “B”

Reimbursable Expenses

• Must be specifically authorized by GOSR
• Travel expenses if authorized by GOSR will conform with GSA guidelines or by other agreement by GOSR

• Specialized hardware and software that is necessary to complete the scope of work such as:
  o Xactimate software
  o Hosting services for internet services
  o Video conferencing equipment

• Extraordinary office space
EXHIBIT “C”

Damage Assessment & Environmental Checklist Forms

Forms and checklists are available on the GOSR procurement website.
**EXHIBIT “D”**

Format for Price Proposal – Key and Non-Key Personnel

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<th>Name</th>
<th>Title / Classification</th>
<th>MWBE Y/N</th>
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<th>Multiplier</th>
<th>Final Billing Rate = Raw Rate * Multiplier</th>
<th>Anticipated Hours / Year</th>
<th>Escalation % - Base Year 1</th>
<th>Escalation % - Option Year 1</th>
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<td></td>
<td>Construction Technical Advisor (non-key)</td>
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</tbody>
</table>

Total: $711,360.00

**Price proposal worksheet is available in editable form on GOSR procurement website.**
EXHIBIT “E”

Format for Resumes for Key Personnel

<table>
<thead>
<tr>
<th>General information</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>John Example</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Proposed title</td>
<td>Program Manager</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td>Masters, Construction Management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Years of applicable experience</td>
<td>10</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Assignment, role, responsibility</th>
<th>ABC project, Program Manager, responsible for all contract deliverables related to ___ tasks, ___ deliverables and the following metrics. Insert other facts about this assignment as necessary.</th>
<th>Start Date of Enter Month and Year</th>
<th>End Date of Enter Month and Year</th>
<th>Duration Enter number of years and months for this assignment</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Repeat experience to total minimum required</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Reference 1</td>
<td>Name, address, phone number, email</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reference 2</td>
<td>Name, address, phone number, email</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

No need to submit company resumes – they will not be evaluated.
This table is available as an editable form on procurement website.