



New York State Housing Trust Fund Corporation
Office of Community Renewal

***Residential Emergency Services
to Offer (Home) Repairs to the Elderly (RESTORE) Program
2012 Request for Proposals***

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I. INTRODUCTION

The NYS Housing Trust Fund Corporation (HTFC), a subsidiary of New York Homes and Community Renewal (NYSHCR or HCR) requests proposals from eligible applicants (Applicants) for grant funds to develop projects under the Residential Emergency Services to Offer (Home) Repairs to the Elderly (RESTORE) Program. The HTFC, through the Office of Community Renewal (OCR), expects to make \$400,000 available in program year 2012 for the RESTORE Program.

The RESTORE Program provides funds for the cost of emergency repairs to eliminate hazardous conditions in homes owned by low-income elderly persons who cannot afford to make needed repairs in a timely fashion. Eligible applicants include not-for-profit community-based organizations, municipalities, and counties and other entities incorporated pursuant to the Not-For-Profit Corporation Law, which have been in existence for at least one year prior to the application date.

For 2012, the amount requested per applicant, per program, may not exceed \$50,000. Assistance to eligible homeowners is limited to a maximum of \$5,000 per unit. Awardees are allowed 12 (twelve) months to fully expend all RESTORE Program funding. Pursuant to the 2012-2013 Enacted NYS Budget, up to 5% of each award may be used for administrative purposes.

Preference will be given to applications that demonstrate a need for an emergency repair program in the proposed service area and to applicants who demonstrate that they have the organizational capacity and resources to complete the proposed program in a timely manner.

This Request for Proposals (RFP) describes the requirements for the RESTORE Program application and also explains the process by which the HTFC and the OCR will evaluate applications requesting funding. Applicants apply for RESTORE funding using HCR's Community Development On-Line System (CDOL), which is accessible online at <http://www.nyshcr.org/Apps/CDOnline/>. Potential applicants may request technical assistance from the OCR during the application process (see Section V.). At the completion of this funding round, applicants that do not receive an award may request an exit conference to review their unfunded application.

II. APPLICATION DEADLINES AND GENERAL REQUIREMENTS

A. Application Submission Deadlines

Applications for RESTORE Program funding must be submitted through the CDOL by 4:00 PM, EST, Friday, August 3, 2012. Any application received after this deadline will be considered a late submission and will not be processed or considered for funding.

Applicants may make a request, based on demonstrated need, to submit a paper application in lieu of using the CDOL. Requests for approval to submit a paper application must be sent to:

**NYS Homes and Community Renewal
Office of Community Renewal
Hampton Plaza, 9th Floor
38-40 State Street
Albany, NY 12207**

Only applications submitted electronically using CDOL or the 2012 paper application, if pre-approved, will be accepted for review. For those applicants with prior approval to submit a paper application, applications will be accepted only at the address stated above. Paper applications received after 4:00 PM, EST, Friday, August 3, 2012 will be considered late and will not be accepted or reviewed. Applicants should refer to the Application Instructions to identify the Exhibits and Attachments that are required to be submitted as part of the application.

B. General Requirements

Applicant Capacity & Prior Experience

Applicants should not apply for a project under the RESTORE Program that cannot be completed or for an amount of funding that cannot be expended within the twelve-month program agreement term. Funds that are not expended at the end of the program agreement term are subject to deobligation and/or recapture.

Applicants to the OCR are subject to an evaluation of prior program funding history, organizational capacity and prior program administration performance. Furthermore, applicants to the OCR must resolve any and all outstanding monitoring and/or non-compliance issues that involve a violation of Federal, State or local regulations, and/or program and OCR requirements prior to the submission of an application for funding.

Prior to submitting an application for funding, applicants to the OCR should evaluate the progress of their open grant portfolio to determine if additional funds are warranted at this time. For each open grant, applicants should evaluate the progress of the program(s) in terms of achieving the accomplishments set forth in the OCR-approved application and their HTFC program agreement(s). Factors such as the rate of expenditure during the term of the HTFC program agreement, the number of extensions requested and approved, and compliance with all HTFC program agreement terms will be used to determine satisfactory performance in the review by the OCR of all applications. Applicants may be negatively impacted by unsatisfactory performance or may be determined to be ineligible for a grant when prior performance evidences significant lack of capacity to carry out the proposed project or program as required and according to the applicable laws, regulations, policies and procedures governing the program.

The HTFC and the OCR reserve the right to not fund any application if it has been determined that the applicant is not in compliance with existing State contracts and has not taken satisfactory steps to remedy such non-compliance.

Bonding and Insurance Requirements

Upon award of funds, Applicants are required to obtain and maintain proper insurance and bonds. At a minimum, copies of the following must be provided: a Certificate of General Liability Insurance, Workers' Compensation and Disability Insurance, Fire and Casualty Insurance and a Fidelity Bond in the amount of at least half of the award amount and naming HTFC as loss payee in accordance with the program agreement requirements.

Administrative Plan

Implementation of each RESTORE Program will be governed by an Administrative Plan, referred to as Exhibit B in the program agreement. The Administrative Plan provides administrative standards on the following topics: Program Activities and Scope, Selection Criteria for Assisted Units, Quality Assurance and Timely Program Implementation, Program Compliance, Contractor Procurement, Services and Program Linkages, Referral Agreements, Public Outreach and the Recapture of Funds. Further guidance on the Administration Plan may be found on the HCR website at: <http://www.nyshcr.org/Forms/Restore/>

Property Maintenance Agreement

In order to secure the investment of RESTORE funds and to ensure that the HTFC and the OCR are notified of the transfer of property, Applicants will be required to file Property Maintenance Agreements with the County within which the unit is located for each unit receiving assistance.

Smart Growth

Please note that the New York State Housing Trust Fund Corporation is subject to the New York State Smart Growth Public Infrastructure Act (Chapter 433 of the Laws of 2010) and must, to the extent applicable, make funding decisions consistent with the provisions of the Act.

Equal Employment Opportunity/Minority and Women Owned Business

Although RESTORE Program Applicants are not required to comply with Article 15A of the New York State Executive Law, by virtue of RESTORE Program award amounts, they are strongly encouraged to make affirmative efforts to comply with the Article. This includes affirmative efforts to ensure that New York State Certified Minority and Women-Owned Business Enterprises are afforded opportunities for meaningful participation in projects with RESTORE funds. Preference will be given to those Applicants who demonstrate at the point of application that their procurement goals and/or plans will meet the requirements of Article 15A of the New York State Executive Law.

Disaster Recovery

As New York State and NYS Homes and Community Renewal continue to focus on the needs of communities recovering from the effects of Hurricane Irene and Tropical Storm Lee, preference will be given to those applications with a focus on serving homeowners

still in need, located in service areas hardest hit by these storms. Applicants must demonstrate existing need as a direct result of the storms, and a lack of other Federal, State or other disaster recovery resources in order to receive preference in this category.

C. Other Application Reference Materials

This RFP provides only a portion of the information and materials needed by applicants. Other materials, available from the HCR website www.nyshcr.org/Funding, include the following:

1. RESTORE Program 2012 Application Instructions
2. CDOL Application Instructions
3. NYS Housing Trust Fund Corporation Rehabilitation Standards (rev. June 2006)
4. RESTORE Frequently Asked Questions FAQs

HTFC reserves the right to award all, a portion of, or none of a program's funds based upon funding availability, feasibility of the applications received, the competitiveness of the applications, an applicant's ability to meet HTFC criteria for funding, and an applicant's ability to advance the State's housing goals. HTFC also reserves the right to change or disallow aspects of the applications received and may make such changes as an expressed condition of its commitment to provide funding to a program. HTFC reserves the right to award less than the requested amount.

III. EVALUATION AND SELECTION

A. General Goals and Objectives

The OCR will evaluate the investment of the resources made available through this RFP using the following three criteria: fundamentals, leverage, and outcomes. This framework accommodates all scoring criteria currently utilized by the OCR. These decisions will also be made in the context of a competitive process. To the extent feasible, the OCR will allocate its resources to meet housing needs and achieve a geographic distribution of funding across the State, while promoting community development policies that emphasize the needs of underserved communities and which advance smart growth principals and healthy living environments.

Fundamentals:

The following fundamentals are considered the basic components of any investment – feasibility, team experience, and program structure. Under this RFP, the OCR will also consider certain threshold requirements specific to the RESTORE Program. The OCR will evaluate, among other things, not only whether the investment is feasible but for our investment; whether all the necessary components are identified and committed and whether the applicant has the proven experience and team members to successfully complete the investment.

Leverage:

The OCR will consider whether the proposed investment leverages significant outside resources such as third party funds, local funds and/or local support. Preference will be given to those applications that demonstrate a commitment of leveraged funds at the time of application.

Outcomes:

The outcomes proposed in an application will be considered policy goals achieved by a particular investment. The OCR will evaluate whether the application proposes a quality program that efficiently responds to the needs of the community by producing a transformative effect or sustains a more livable community.

B. Application Processing Steps

1. **Application Receipt** – Once the RESTORE Applications are submitted through CDOL, or pre-approved paper applications are received, an identification number is assigned and the application is made available for review by the appropriate OCR program staff.
2. **Eligibility Review** - Applications are reviewed according to statutory eligibility criteria which are summarized below. **Applications that fail to meet all of the required criteria will not be reviewed further.**

RESTORE eligibility criteria include:

- Eligible applicants include municipalities, counties, not-for-profit community based organizations and other entities, incorporated pursuant to the Not-For-Profit Corporation Law, which have been in existence for at least one year prior to the application date.
 - Eligible activities include any repairs to 1-4 unit residential dwellings owned by low-income elderly homeowners that correct any emergency housing conditions. Emergency housing conditions are defined as hazardous conditions posing a threat to the life, health or safety of the property owner or eligible resident. Emergency repairs may include, but are not limited to: heating system repairs or replacement, electrical repairs or upgrades to electrical systems, and plumbing repairs.
 - Emergency assistance must be limited to \$5,000 per unit.
 - Assistance can only be provided to homeowners aged 60 or over who occupy the building and have a household income of less than 80% of the area median income. If the structure contains rental units, the tenants are not restricted by age or income.
3. **Rating and Ranking** - Each application is scored on criteria derived from the regulatory and policy considerations of the RESTORE program. Application ratings are based only on the application materials received by the submission deadlines.

4. **HTFC Board Approval** - Awards must be approved by the HTFC Board of Directors prior to entering into a Program Agreement.
5. **Application Outcome Letter** - The letter will be issued to inform the applicant of the status of its application:
 - a. Selected for Funding
 - b. Not Selected for Funding
 - c. Ineligible for Funding
6. **Program Agreement** - RESTORE applicants selected for funding may be asked to revise parts of their proposal prior to issuance of a program agreement. After required revisions are submitted and approved, a program agreement will be issued. Applicants are reminded that construction activity must not begin until a program agreement is executed with the OCR.

The HTFC expects to enter into a program agreement within 15 business days of the RESTORE applicant's compliance with submission requirements.

7. **Implementation Meeting** - RESTORE applicants may be asked to participate in a program implementation meeting to discuss the overall grant administration and program requirements that must be met to ensure the successful implementation of an awarded program. Topics generally include, but are not limited to, file maintenance, financial management, statutory requirements, and programmatic compliance.

IV. RESTORE PROGRAM RATING CRITERIA

Each **RESTORE** application that is determined to be complete and eligible will be scored on a 100 point scale, based on the criteria listed below.

1. **Community Needs (Up to 10 points)** – Measures the extent of need in the proposed service area. Proposed programs in service areas with the most need will receive the most points (measured by number and percent of income eligible elderly homeowners in the area living in substandard housing conditions).
 - a. **Low-Income Elderly Homeowners in Service Area – (5 points)** -Applicant must document the percentage of low-income elderly homeowners in the service area, and document the source of the data utilized.
 - b. **Housing Conditions of Elderly Homeowners in the Service Area – (5 points)** - Applicant must document the number or percentage of low-income elderly homeowners that need emergency repairs in the service area, and the source of the data utilized.

- 2. Housing and Aging Services – (Up to 10 points)** – Measures the extent to which the proposed program demonstrates links to other senior citizen service providers in the service area and that those links are fully documented in the application. Applicants who are able to formally document referral agreements from service providers will receive the most points. Formal documentation of the agreements must be attached to the CDOL application to be considered.
- 3. Organizational Experience – (Up to 10 points)** Measures the organization’s experience with the RESTORE program, or other similar programs.
 - a. Experience** – (Applicant must demonstrate the organization’s experience (for the last three to five contract years) with the RESTORE Program, or other similar programs. Applicants listing experience in home repair and rehabilitation grant administration will receive the most points.
 - b. Program Penalty Deductions** – Points will be deducted for Applicants with incomplete RESTORE contracts or documented grant administration issues including, but not limited to, multiple amendments to complete contracts, fiscal concerns or building owner complaints.
- 4. Leveraging – (10 points)** Applicants must demonstrate committed and eligible sources of funds that will be leveraged by the requested RESTORE Program funds. Applicants presenting high percentages of private sources of committed leveraged funds will receive the most points. Formal documentation of financial commitments must be attached to the CDOL application to be considered. Sources of funds that are not relevant or feasible sources to contribute to the proposed RESTORE project will not be considered as leveraged funds for the purposes of this scoring criterion.
- 5. Program Design & Implementation Capacity – (60 points)** – Applicants must demonstrate the applicant’s staff capacity, program design, readiness and organizational implementation capacity. You must show the ability to fully comply with all program requirements, propose detailed practices and procedures that will result in an optimal performance and show no indication of impediments to timely and efficient program implementation. Those applicants able to demonstrate that minimal technical assistance will be required will receive the most points.

V. TECHNICAL ASSISTANCE

Applicants are encouraged to review the RESTORE program application instructions prior to beginning the application process as these instructions provide guidance for completing the application as well as troubleshooting issues with the CDOL system. Any questions regarding program eligibility or application questions may be directed to OCR staff at 518-474-2057.